DOCUMENT RESUME

ED 225 308 EA 015 544

TITLE Annual Evaluation Report on Programs Administered by the U.S. Office of Education: Fiscal Year 1979.

INSTITUTION Office of Education (DHEW), Washington, D.C. Office of Evaluation and Dissemination.

PUB DATE 79

NOTE 730p.; Some tables and portions of appendix A are marginally reproducible. For related documents, see EA 015 543 and ED 207 264-265.

PUB TYPE Reports - Evaluative/Feasibility (142) -- Statistical Data (110)

EDRS PRICE MF04/PC30 Plus Postage.

DESCRIPTORS Adult Education; Early Childhood Education; *Educational Assessment; Educational Resources; Elementary Secondary Education; Evaluation Utilization; Federal Aid; *Federal Programs; Minority Groups; Postsecondary Education; Program Descriptions; Program Effectiveness; *Program Evaluation; Special Education; Student Financial Aid; Tables (Data); Vocational Education

ABSTRACT

This ninth annual evaluation report to Congress reviews programs administered by the Office of Education (OE), using data available as of June 30, 1979. After a brief introduction and a summary of the monies obligated for OE evaluations since fiscal year (FY) 1970, the report discusses OE's evaluation strategy, which comprises impact and process studies, technical assistance with evaluations, identification of effective practices, and exploratory evaluations. Highlights of OE studies completed in FY 1979 are reviewed, as are the uses of OE evaluations at the levels of policy and management decisions, budgeting, and legislative activities. Program-by-program evaluations are provided in five areas, and each program's funding history, mandating legislation, goals and objectives, scope operations, effectiveness, and evaluation studies are described. The five areas include elementary and secondary education (with 17 programs), postsecondary education (31 programs), education for the handicapped (13 programs), occupational, adult, and career education (8 programs), and developmental programs (22 programs). The programs covered range from Title I of the Elementary and Secondary Education Act (ESEA) to student financial aid, teacher and resource development, and bilingual, vocational, and special education. Two appendices list 84 OE contracts for evaluation activities and discuss implementation of ESEA's Title I. (RW)

****
* Reproductions supplied by EDRS are the best that can be made *
* from the original document. *
****

ED225308

Annual Evaluation Report on Programs Administered by the U.S. Office of Education

Fiscal Year 1979

U.S. DEPARTMENT OF EDUCATION
NATIONAL INSTITUTE OF EDUCATION
EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC)

☒ This document has been reproduced as received from the person or organization originating it.
☐ Minor changes have been made to improve reproduction quality.

- Points of view or opinions stated in this document do not necessarily represent official NIE position or policy.

U.S. Department of Health, Education, and Welfare
Office of Education

Office of Evaluation and Dissemination

EA 015 544

2

ANNUAL EVALUATION REPORT ON
PROGRAMS ADMINISTERED BY
THE U.S. OFFICE OF EDUCATION
FISCAL YEAR 1979

PREPARED BY THE OFFICE OF EVALUATION AND DISSEMINATION,
U.S. OFFICE OF EDUCATION
DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
WASHINGTON, D.C.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS: FY 1979

Contents

Foreword

A. Introduction 1
B. Amounts Obligated for Evaluation Contracts by the Office of Evaluation and Dissemination Since Fiscal Year 1970 3
C. Evaluation Strategy of the Office of Evaluation and Dissemination (OED) 4
D. Highlights of Studies Completed by OED During Fiscal Year 1979 9
E. Uses of OED Evaluation Activities 44
F. Evaluation of Elementary and Secondary Education Programs 78

1. Education of Disadvantaged Children 98
2. Title I, ESEA, Migrant Education Program 132
3. Title I, ESEA, Program for Institutionalized, Neglected, or Delinquent Children 141
4. National Diffusion Program (formerly Packaging and Dissemination) 151
5. Correction Education Program 161
6. School Libraries and Instructional Resources 164
7. Educational Improvement Resources and Support (formerly Educational Innovation and Support) 168
8. Emergency School Aid Act (ESAA) 176
9. Bilingual Education 188
10. Special Grants for Safe Schools 210
11. Training and Advisory Services (Civil Rights Act of 1964, Title IV) 214
12. Follow Through 221
13. School Assistance in Federally Affected Areas (SAFA): Maintenance and Operations 226
14. School Assistance in Federally Affected Areas (SAFA): Construction 233
15. Allen J. Ellender Fellowships 239
16. Indochinese Refugee Children Assistance 241
17. Equalization Assistance (formerly Assistance to States for State Equalization Plans) 243

G. Evaluation of Postsecondary Education Programs 245

1. Basic Educational Opportunity Grants Programs 264
2. Supplemental Educational Opportunity Grants Programs 276

3. State Student Incentive Grant Program 285
4. College Work-Study Program 293
5. National Direct Student Loan Program 300
6. Guaranteed Student Loan Program 309
7. Health Education Assistance Loan Program 319
8. Upward Bound Program 323
9. Talent Search Program 328
10. Educational Opportunity Centers 332
11. Special Services for Disadvantaged Students in Institutions of Higher Education 335
12. Veterans' Cost-of-Instruction Program 339
13. Educational Information Centers 346
14. Training Program for Special Programs Staff and Leadership Personnel 349
15. Strengthening Developing Institutions Program (SDIP) 352
16. Land-Grant Colleges and Universities 363
17. Annual Interest Grants 366
18. Grants for Construction of Undergraduate Academic Facilities 370
19. Loans for Construction of Academic Facilities 374
20. Cooperative Education Program 378
21. State Postsecondary Education Commissions 384
22. Community Service and Continuing Education Program 389
23. Postsecondary Education Eligibility and Agency Evaluation 393
24. Language Training and Area Studies 399
25. Fulbright-Hays Act 406
26. Ethnic Heritage Studies Program 409
27. Graduate/Professional Educational Opportunities Program 414
28. Legal Training for the Disadvantaged 418
29. Domestic Mining and Mineral and Mineral Fuel Conservation Fellowships 423
30. Public Service Fellowships and Institutional Grants 428
31. Law School Clinical Experience Programs 433

H. Evaluation of Education Programs for the Handicapped 435

1. Aid to States for Education of Handicapped Children in State-Operated and State-Supported Schools 440
2. State Grant Program 446
3. Preschool Incentive Grants 452
4. Regional Resource Centers 455
5. Deaf Blind Centers 460
6. Early Childhood Education 465
7. Severely Handicapped Projects 470
8. Regional Education Programs 473
9. Special Education Manpower Development 475
10. Recruitment and Information 480
11. Innovation and Development 483
12. Media Services and Captioned Films 486
13. Special Studies 490

I. Occupational, Adult and Career Education............................ 493

1. Vocational Education--Special Programs for the Disadvantaged..... 502
2. Vocational Education--Indian Tribes and Indian Organizations..... 505
3. Vocational Education--Basic Grants to States.................... 507
4. Vocational Education--Programs of National Significance.......... 520
5. Vocational Education--Consumer and Homemaking Education.......... 527
6. Vocational Education--Bilingual Vocational Training.............. 530
7. Adult Education--Grants to States................................ 534
8. Career Education... 543

J. Developmental Programs in Education.................................. 549

1. Teacher Corps Program.. 562
2. Teacher Centers Program.. 568
3. Public Library Services.. 570
4. Interlibrary Cooperation... 578
5. College Library Resources.. 581
6. Library Career Training.. 585
7. Library Research and Demonstration............................... 590
8. Strengthening Research Library Resources......................... 594
9. Educational Broadcasting Facilities.............................. 598
10. Educational Television and Radio Programming Support............. 599
11. Right-to-Read and the National Reading Improvement Program....... 604
12. Alcohol and Drug Abuse Education................................. 618
13. Environmental Education.. 621
14. Revision of Impacted Areas Program as it Relates to Indian Children (Payments to LEA's for Indian Education)............. 624
15. Special Programs and Projects to Improve Educational Opportunities for Indian Students........................... 629
16. Special Programs Relating to Adult Education for Indians......... 633
17. Metric Education... 636
18. Program for the Gifted and Talented.............................. 638
19. Community Education... 641
20. Consumers' Education... 645
21. Women's Educational Equity....................................... 648
22. Arts in Education Program 651

Appendix A-- OED Sponsored Evaluation Activities Containing FY 1979 Funds

Appendix B--Progress in Implementing Section 183 of Title I of the Elementary and Secondary Education Act of 1965 as amended

FOREWORD

This is the ninth Annual Evaluation Report submitted to the Congress by the Secretary of Health, Education, and Welfare on behalf of the U.S. Office of Education (OE). Prepared by OE's Office of Evaluation and Dissemination (OED), the Report reviews programs administered by OE, and provides for nearly all programs:

- a brief funding history;
- a description of program goals and objectives;
- a review of program operations;
- an analysis of program scope;
- a report on program effectiveness and progress; and
- a listing of ongoing and planned evaluation studies.

Formal evaluations have not been carried out on many OE programs. For those, the historical information on legislation and budget, the descriptive information on program activities, and a list of ongoing evaluation studies are provided. As the evaluations are completed, summaries of their findings are added to the Report. Thus, the Report constitutes an annual updating of the accumulating evaluation knowledge about the effectiveness of OE programs.

A major section again this year is entitled "Uses of **OED** Evaluation Activities." It addresses the important question of what effect do the findings of evaluation studies have on program-policy and program-management decisions, on budget levels, and on legislative proposals and action. It also addresses the question of the effect of other evaluation activities, such as technical assistance in evaluation to the field.

The reader will find reference for the first time in this Report to "exploratory evaluations" under the discussion of OED's evaluation strategy (Section C) and in many of the chapters on Office of Education programs. Begun during Fiscal Year 1979, the exploratory evaluations are relatively small-scale studies meant to help define feasible goals and objectives for OE programs. Eight such studies are underway as this Report is prepared, with approximately 15 more planned to begin in Fiscal Year 1980. After the results of an exploratory evaluation have been embodied in program legislation and regulations as appropriate for that program, we shall report those results under the "Program Goals and Objectives" heading in the Report chapter.

This year's volume also contains material for the first time in response to the legislative requirement in Section 1246(a) of Public Law 95-561, the Education Amendments of 1978. That requirement calls for information on "...compliance with provisions of law requiring the maintenance of non-Federal expenditures for the purposes of such applicable programs." Information available at this time is presented in the appropriate chapters on OE programs.

Readers of this Report should note that the material is current as of June 30, 1979. That is the date by which drafts of program chapters were completed. Subsequent revisions were largely editorial in nature and did not necessarily include budgetary, legislative, program and evaluation data subsequent to that date. In view of the necessary clearances and the November 1 due date, it was not possible to include all activities of Fiscal Year 1979.

It is our hope and expectation that this Annual Evaluation Report will provide useful information to the Congress and to the agencies of the Executive Branch, State and local policymakers, journalists, educational practitioners, and researchers everywhere. For those of you who do make use of it, I welcome any suggestions for improvement. Additional single copies of the Fiscal Year 1979 edition may be obtained from this office through Ms. Yvonne Briscoe, Room 4079, 400 Maryland Avenue, SW, Washington, D.C. 20202.

John W. Evans
Assistant Commissioner
Office of Evaluation and Dissemination

Annual Evaluation Report on Programs
Administered by the U.S. Office of Education

A. Introduction

Section 417 of the General Education Provisions Act (GEPA), as amended by the Education Amendments of 1974 and 1978, requires that "...the Secretary shall transmit to the Committee on Education and Labor of the House of Representatives and the Committee on Human Resources of the Senate an annual evaluation report which evaluates the effectiveness of applicable programs in achieving their legislated purposes..."

This is the ninth annual comprehensive evaluation report. It updates the information in the FY 1978 Report by incorporating the results of evaluation studies completed through June 1979 as well as additional information obtained from program operations and monitoring activities. It also provides detail on program goals and objectives, discusses progress towards meeting these goals and objectives, identifies the principal studies supporting the conclusions about program effectiveness, and briefly describes each evaluation contract in effect during FY 1979.

This Report contains information for the first time in response to the amendment to GEPA Section 417 in the Education Amendments of 1978 (P.L. 95-561). That amendment requires information on "...compliance with provisions of law requiring maintenance of non-Federal expenditures for the purposes of such applicable programs." The appropriate program chapters present the information available at this time.

There is also the annual report required in P.L. 95-561 on the Bilingual Vocational Training Program, and a summary of the progress report on ESEA Title I Program Evaluation and Reporting System (Appendix B) which is required under Section 183 of that law.

Because not all programs have yet been the subject of formal evaluations, information about effectiveness has varying degrees of "hardness" and objectivity. The most objective effectiveness data result from completed formal evaluation studies. Overall, the sources of data are varied and represent the efforts of many units within the U.S. Office of Education (OE) as well as some organizations outside of OE. These include evaluation studies by the Office of Evaluation and Dissemination (OED) and various contractors, data compiled by NCES, data from program managers, data from HEW Audit Agency, GAO reports, NIE reports, data from State and local agencies, and other sources.

February 1980

B. Amounts Obligated for Evaluation Contracts in OED Since Fiscal Year 1970

AMOUNTS OBLIGATED FOR EVALUATION CONTRACTS OF OED
(In millions of dollars by fiscal year)

Authority	1970	1971	1972	1973	1974	1975	1976	1977	1978	1979	(Est.) 1980
Planning and Evaluation	9.7	12.4	12.5	10.5	5.5	6.9	6.4	7.1	7.1	5.2	3.0
Follow Through	4.0	6.2	2.8	3.9	3.1	2.4	2.3	.2	2.0	.5**	-
Emergency School Assist.	-	1.3	.9	3.4	2.5	2.3	1.7	2.1	2.0	1.2**	1.0
Bilingual Research	-	-	-	-	-	-	-	-	.1	1.3	1.5
Labor Dept.	-	.2	-	.2	-	-	-	-	-	-	-
S&E	-	-	-	.6	-	.5	-	-	.9	-	-
Sec. 232	-	-	-	-	.5	.5	-	-	-	-	-
Title I (Sec. 183 & 417)	-	-	-	-	-	4.0	4.5	5.0	12.3*	12.3	15.2
Career Education	-	-	-	-	-	.3	-	.2	.2	.1	.1
National Diffusion	-	-	-	-	-	1.2	.9	1.6	2.1	.4	.7
BEOG's		-	-	-	-	.2	.3	-	.3		-
Right-to-Read	-	-	-	-	-	-	.2	.3	.3	.3	.2
Community Education	-	-	-	-	-	-	-	.1	-	.1	.1
Vocational Education	-	-	-	-	-	-	-	1.4	-	-	-
Teacher Corps	-	-	-	-	-	-	-	-	2.4	-	-
Indian Education	-	-	-	-	-	-	-	-	-	.1	.3
Women's Educational Equity	-	-	-	-	-	-	-	-	-	-	.1
Alcohol and Drug Abuse	-	-	-	-	-	-	-	-	-	.1	.1
	13.7	20.1	16.2	18.9	11.6	18.2	16.2	18.0	29.7*	21.6**	22.3

Individual items may not add to totals because of rounding.

* less .55 million transferred to the National Institute of Education for completion of the study of Compensatory Education mandated by P.L. 93-380.

** reduced level in response to DHEW ceiling on consultant services

C. Evaluation Strategy of the Office of Evaluation and Dissemination

The U.S. Office of Education is responsible for administering or monitoring approximately 100 programs which provide funds, materials, teachers and other staff, training activities, and technical assistance in support of all levels of public and private education across the country. In carrying out its responsibilities, OE spent more than $12 billion during Fiscal Year 1979, employed approximately 3,300 persons at headquarters in Washington, D.C. and at its 10 regional offices. More important, OE programs and resources have affected the activities of more than 2 million teachers and administrators at all levels of education, and the learning experiences of a high percentage of the more than 60 million persons who were the clients of America's educational institutions.

Most of OE's programs, in terms of numbers of programs and projects, numbers of student and teacher participants, and numbers of dollars spent, are directed at persons who may be generally defined as "disadvantaged." The term applies to children and adults who typically do not or cannot succeed in the traditional educational system and programs. The causes of these difficulties are many and are often reinforcing. Physical or mental handicaps which are clinically definable require special programs and services, often supported with Federal funds, to enable the handicapped person to acquire appropriate knowledge and skills toward as satisfying and self-supporting a life as possible. A background of poverty, of isolation as a member of a minority ethnic or linguistic group, and of early failure at school frequently results in patterns of accelarating failure, withdrawal from school, unemployment or a series of low-paying, low-prestige jobs, and difficulties in continuing one's education or in gaining access to the formal educational system in later years. Here again, the Federal response has been to create special programs and services designed to assist the economically or educationally disadvantaged person to stay in school, to receive greater benefits from the educational system as indicated by improved achievement, motivation, and attitudes, to overcome the financial barriers to postsecondary education, or to re-enter the system whenever appropriate. Here again, the intention is to help people acquire knowledge and skills to the maximum of their learning potential and interest, toward as satisfying and useful a life as possible.

Given the wide financial and human impact of OE's programs, these important questions emerge as the basis for OE's evaluation strategy:

1. What are feasible goals and objectives for specific Federal programs in education?
2. What effect do specific Federal programs in education have upon their participants?
3. What improvements should be made in the management and administration of those programs?
4. What improvements may be made in the instructional techniques and materials and in staff-training activities?
5. What particularly effective projects, products, procedures and practices have been developed in the field with the support of Federal funds and which should be disseminated?

6. What improvements may be made in the delivery of financial aid and other services to students to increase their entrance and retention rates in postsecondary education?
7. What improvements should be made in evaluation itself so that all participants in the educational system may better understand the workings and the effects of their programs and projects, and may take action to improve those activities?

With these questions to answer and within the limits of staff and funds available to answer them, the evaluation strategy in years past has emphasized impact studies which are designed to measure the effect of programs and projects upon participants. Such studies will continue to be a major component of the OE evaluation strategy, because of the information they provide to the Congress and to the Executive Branch on program effectiveness, on program management, on project instructional activities, and on particularly effective activities that could be disseminated to others. Some of these studies are mandated by the Congress in program legislation.

A second component of the strategy consists of process studies aimed at providing information and recommendations to program managers on the characteristics and problems of OE programs as they operate through projects in the field. Most of these studies are requested by OE managers themselves during the lengthy process of planning and negotiations leading to the Annual Evaluation Plan. Some are mandated by the Congress in program legislation.

A third component of the strategy is the provision of technical Assistance to States and to local districts in evaluation itself. Most of this activity responds to the mandate for the ESEA Title I program originally in P.L. 93-380, Section 151 and now in P.L. 95-561, Section 183. It includes Technical Assistance Centers in evaluation, workshops, and a monograph series on recommended evaluation practices. Other activities of this component are conducted under the National Diffusion Program.

A fourth component of the strategy is the identification of effective projects and practices developed under OE programs. This component may include the development of "models" or detailed descriptions of the essential characteristics of such projects or practices, designed to help educators in the field to develop similar projects or practices. Identification of effective projects and practices, validation of their effectiveness by the DHEW Education Division's Joint Dissemination Review Panel (JDRP), and dissemination of information about these validated activities, is particularly active for the ESEA Title I program in response to the mandate in P.L. 93-380 and P.L. 95-561 referred to above. For Title I and for many other OE programs, projects validated by the JDRP receive support from the OE National Diffusion Program and its National Diffusion Network (NDN) for replication in other school districts and States.

A new and fifth component of the strategy which is growing rapidly consists of exploratory evaluations designed to identify feasible goals and objectives for individual OE programs. During Fiscal Year 1979, OE began a "pilot" set of eight exploratory evaluations in close collaboration with HEW's Office of the Assistant Secretary for Planning and Evaluation. Fiscal Year 1980, a second set of approximately 15 studies was planned. This component responds to the Congressional mandate that OE define goals and specific objectives, in qualitative and quantitative terns, for all programs which are evaluated.

In summary, OED evaluation strategy includes implementation of Congressional mandates, conduct of program impact studies, meeting information needs of OE program managers, provision of technical assistance in evaluation to the field, studies to identify effective practices or projects for improvement of program operations and for dissemination to the field, and exploratory evaluations to identify feasible goals and objectives for OE programs. It is worth noting that for these purposes the amount obligated for Fiscal Year 1979, as displayed in Section B above, represents less than two-tenths of one percent of the estimated total appropriation for OE in that fiscal year.

D. HIGHLIGHTS OF STUDIES COMPLETED BY OED DURING FISCAL YEAR 1979

D. Highlights of Studies Completed by OED During Fiscal Year 1979

The following section presents a few important findings of evaluation studies completed in the period (approximately) of June 1978 - June 1979. The intent of these brief listings is not to be comprehensive but rather to call the reader's attention to completion of the study and some key results. Similar or expanded information has been integrated into the "Program Effectiveness and Progress" section of the pertinent OE program chapter in this Report.

For each major study, the Office of Evaluation and Dissemination prepares an Executive Summary of 6-10 pages which briefly describes the background, methodology, and findings of the study. Persons interested in greater detail about a study than can be presented in the "Highlights" section should call or write to the contact person for a copy of the Executive Summary. A copy of the full report (if still available) may also be obtained from the contact person.

Title I Is Well-Focused on Poor, Low Achieving Students

Recent results from a long term study of Title I show that: Title I funds are well focused on areas with high concentrations of children from low-income backgrounds and services are focused on the lowest achieving students in reading and math to a pronounced extent. Also for individual students in reading and in math, Title I is fulfilling the requirement that it supplement rather than supplant services provided by State and local funds.

These are among the most recent conclusions drawn from A Study of the Sustaining Effects of Compensatory Education on Basic Skills--a major assessment of ESEA Title I and other compensatory education programs. Other findings show that services to Title I eligible non-public students are similar to services provided to public school students (viz. supplementary instruction in basic skills during normal school hours in the student's own school with a low incidence of non-instructional services).

With respect to parent involvement, the study shows that compared to parents in general, parents of Title I students could more readily identify the purposes of the Title I program and were more likely to be aware of their children being in such a class. Three in four of them thought the program was extremely or very helpful for their child.

(Office of Evaluation and Dissemination,
Executive Summary: Providing Compensatory
Services, July 1979)

For further information about this study,

Contact: Dr. George W. Mayeske
(202) 245 8857

Neglected or Delinquent Youth Show Need but Irregular Receipt of Educational Services

A recent study of ESEA Title I programs in State institutions for the neglected or delinquent has confirmed the common observation that such youngsters--ranging in age usually from 14-20 years old--often have difficulty in the basic skills of reading and mathematics--scoring most often at the level of 9 or 10 year-olds. Title I classes are most often targeted at students showing the greatest educational need but for many reasons (cancellation of the classes, lack of emphasis on their importance, student attendance problems, and others), Title I youngsters receive only about 70% of what the programs are designed to offer. There is usually a resulting lack of student improvement in those skill areas, and ideas from sites who have managed to overcome scheduling and student motivational difficulties are being documented for distribution to other Title I institutional programs.

System Development Corporation,
National Evaluation of ESEA Title I
Programs in State Institutions for the
Neglected or Delinquent, Phases I and II.
Santa Monica, California: 1978, 1979.

Too Many School Districts Get Federal Desegregation Aid

A recent study of school desegregation aid provided under the Emergency School Aid Act (ESAA) showed that many school districts receiving funds had no clear desegregation-related problems. Only six percent of districts receiving ESAA Basic Grants in Fiscal Year 1977 had implemented a desegregation plan within the previous two years. Many plans were a decade or more old. Furthermore, while there is a complex competitive funding process, the result in Fiscal Year 1977 was that approximately 85 percent of applicants were funded. Many ESAA grantees were conducting remedial or compensatory education activities which had little relationship to school desegregation. An emphasis on the number and percent of minority students in applicant school districts rather than the scope and recency of district desegregation plans has contributed to problems in targeting ESAA funds. The appropriation levels may also be too high.

Applied Urbanetics, Inc., An Assessment of ESAA Program Operations (3 Volumes). Washington, D.C., 1978.

For further information about this study:

Contact: Robert York
(202) 245-7997

Ways to Make Magnet Schools Succeed

Magnet schools are schools with specialized curricula or instructional methods which can serve to attract students to desegregated schools. A study of the Emergency School Aid Act magnet school program found that magnet schools are the most successful as a desegregation device when they are used as one component of a comprehensive desegregation plan. Magnet schools are also more likely to succeed when they are located in racially mixed neighborhoods and designed to desegregate a particular area of a city. There is evidence that magnet schools have a positive effect on community attitudes to desegregation. The federal ESAA magnet school program is flawed by regulations which allow a substantial number of awards to be made to school districts with poor overall desegregation records.

Abt Associates, Inc., Magnet Schools and Desegregation: Study of the ESAA Magnet School Program. (2 Volumes). Cambridge, Massachusetts: 1979.

For further information about this study:

Contact: Robert York
(202) 245-7997

The Impact Aid Program's Expenditure Disparity Standard Needs Revision

The expenditure disparity standard is one of two standards used by the impact aid program to control State treatment of impact aid funds. If a State's equalization program passes either standard, the State may treat a portion of its impact aid payments as local revenue. In an evaluation report on the disparity standard to the Office of Education, the Education Commission of the States found:

- The standard may be thought of as comprising a number of alternative standards any one of which may be used to compute expenditure disparity. This flexibility is achieved by permitting States to compute disparity using revenues or expenditures and using any one of a number of methods for counting pupils, calculating disparities among different district types and handling cost differentials. This flexibility permits the computation of logically inconsistent measures of disparity and allows States with numerous categorical programs and weighting schemes greater flexibility in computing their disparities than States with few such programs.

- The standard employs a statistical measure of disparity which is less preferred than a number of alternative measures.

- For most States the standard does not provide incentives to improve school finance equalization programs.

Fortunately the problems of flexibility, statistical measurement, and incentives could be addressed in part through changes in the regulations.

Berne, R. & Stiefel, L.
The Measurement of Equity
in School Finance with an
Expenditure Disparity Measure
Denver, Colorado: Education
Commission of the States,
November 1978

For further information about this study,

Contact: Peter Stowe
(202) 245-8364

Successful Implementation of New Projects Requires Personalized Assistance

This study was aimed at evaluating a systematic approach to disseminating exemplary compensatory education projects for which Project Information Packages or PIPs, a set of guides to installing complete projects - had previously been developed under OE's National Diffusion Program. Through a network of dissemination agents the packaged projects were disseminated to school districts around the country. The study examined the strategies employed by the dissemination agents to get suitable adopters to implement the packaged projects.

The study found the dissemination strategy and the packages to be moderately effective in helping school districts install new projects. However, in the absence of assistance from the original project developers, implementing sites did a less than adequate job of implementing essential project components. The ease of implementation varied with the requirements of each project, underscoring the importance of providing different amounts and types of assistance to implementors based on the nature of the project and implementors needs. On the basis of the results of this investigation several steps have recently been taken. First, project developers were funded to continue PIP dissemination in OE's National Diffusion Network and to provide assistance to project adoptors. Second, project developers were provided with assistance in planning dissemination strategies to utilize the packaged materials developed for their project.

Campeau, P. L. et al.,
Final Report: Evaluation of Project Information Package Dissemination and Implementation.
Palo Alto, California:
American Institutes for Research, January 1979.

For further information about this study,

Contact: Judy Burnes

(202) 245-8364

The Growth of Federal and Other Grant Programs Since 1972 has Removed the Relative Financial Disadvantage of Low Income Freshmen

Since the early 1960's, Congress has established within USOE a variety of student aid programs to remove the financial barriers that keep qualified students from receiving a postsecondary education. These programs include the Basic Educational Opportunity Grant (BEOG) and the three "Campus-based" programs: Supplemental Educational Opportunity Grants (SEOG), National Direct Student Loans (NDSL), and College Work-Study (CWS). In an evaluation report on the management of these programs, Applied Management Sciences, Inc. found:

- The introduction of Basic Grants and the growth of other Federal, State, and institutional need-based grant programs since 1972 have removed the relative financial disadvantage faced by low income first-time students caused by lower parental contributions.
- Despite this equalizing of financial barriers, first-time students as a whole are now working and/or borrowing to pay for a higher percentage of education costs than they did in 1972.
- The four most frequent problem areas found in audits and program reviews of institutions were deficient accounting records, improper disbursement of funds, inadequate due diligence in loan collection, and incorrect award calculations. Problems such as questionable recruiting practices, maintaining improper cash balances, and lack of validation of student financial data were uncovered much less often.

- The choice of need-analysis system (i.e., the formula used to determine the complementary amounts of family contribution and student aid) used by an institution can greatly affect the eligibility of a student for Campus-based aid.

Deane, R. et al.,
Stage I Final Report for the Study of Program Management Procedures in the Campus-based and Basic Grant Programs,
Silver Spring, Maryland: Applied Management Sciences, Inc.
September, 1978

For further information about this study,

Contact: Alexander Ratnofsky
(202) 245-8130

Virtually All Institutions of Higher Education have Tuition Refund Policies

Current law and regulations relating to institutions that participate in USOE student aid programs mandate "fair and equitable" tuition refund policies. The USOE has for a number of years, been considering setting standards relating to refund policy. Various educational associations have resisted the setting of standards on a national level. In an Office of Education sponsored survey of over 700 institutions of higher education, the following was found:

- Virtually all institutions of higher education (over 99%) have some sort of stated tuition refund policy.
- Nearly two-thirds of all institutions have established procedures by which students can appeal decisions made on tuition refunds.
- Approximately 3% of the schools give no refund on tuition after the first day of class and almost one-fourth of the schools refund at least 90% of the tuition after the first day of class.

Atelsek, F. and Gomberg, I.
Higher Education Panel Survey No. 46;
Survey of Refund Policies,
Washington, D. C.: American Council
on Education, August, 1979

For further information about this study,

Contact: Peter Kuch
(202) 245-7884

The Difference Between Projected Loan Volume and Projected Collections in the National Direct Student Loan Program will Continue to Increase

The purpose of the National Direct Student Loan Program (NDSL) is to provide a loan fund at institutions of postsecondary education for the purpose of making long-term, low interest loans to qualified students in need of financial assistance. Since its inception in 1959, the Federal Government has contributed approximately $4.2 billion to this fund while institutions have matched at least one-ninth of this amount. An Office of Education, Office of Evaluation and Dissemination staff paper reported:

- There are currently 339 (out of 3,110) NDSL participant institutions in revolving fund status (not in need of new Federal capital).
- If collections are assumed to increase at 10% per year and loans are assumed to increase at 6% per year;
  (a) the difference between spending and collections (need for new capital) will continue to increase until the 1991-92 academic year.
  (b) the difference between spending and collections will be over $300 million per year for at least the next twenty years.

Ratnofsky, Alexander
The Prospects for Revolving Fund Status in the National Direct Student Loan Program,
Washington, D. C.: USOE/OED Staff Paper,
March, 1979

For further information about this study,

Contact: Alexander Ratnofsky
(202) 245-8130

Parents Reduced Contribution to Children's Education When Grant Aid is Awarded

This study sheds light on the relative enrollment impacts of grant aid, subsidized loans and low public tuitions as well as on the factors that determine the level of parental financial support for their children's education.

This study found that:

- Parents react to subsidies given to their children in the form of grants or scholarships by reducing their contribution by (on average) 66 cents for each dollar of grant or scholarship their child receives.
- Parental contributions tends to rise with parental income, but the relationship is complex and depends on many other variables.
- First born children other things being equal, receive the least financial assistance from their parents.
- Parents tend to contribute more to the education of more able children. They also tend to contribute less to the education of male children than to female children.
- Each dollar of subsidy given directly to the student will have a greater effect on the probability of his or her enrollment than a dollar of subsidy given to the institution (presumably to be passed-on as a tuition reduction).

Catsiapsis, George
Prediction of the Expected Amounts of
Financial Aid and Parental Contributions
for Postsecondary Education and their
Effects on Individual Enrollment Decisions
Chicago, Illinois, University of Chicago,
August, 1979

For further information about this study,

Contact: Peter Kuch
(202) 245-7884

Very Little Overlap Found in Participation in the National Direct and Guaranteed Student Loan Programs

USOE provides, through the National Institute for Education, partial support of the Cooperative Institutional Research Program (CIRP). The CIRP provides extensive data on first-time, full-time college students each Fall. USOE/OED staff have developed from this data a series of technical reports on the packaging of student financial assistance. Findings included:

- For those first-time, full-time college students in the Fall of 1978 who participated in either the National Direct or Guaranteed Student Loan Programs, only 7% received both types of loans.
- The overlap between the Basic Grant and Supplemental Grant Programs for the first-time, full-time college students getting one or the other grant in the Fall of 1978 was 19%.
- Approximately one-fourth of first-time, full-time Freshmen received a Basic Grant in 1978 while the recipient rates for Supplemental Grants, College Work-Study, National Direct, and Guaranteed Student Loans respectively were 6%, 12%, 9%, and 11%.

For further information about this study,

Contact: Dennis Carroll
(202) 245-7884

Insurance Companies are the Largest Source of Non-Federal Loans

This study advances our knowledge of the availability of educational loans. It identifies and describes for the first time all existing loan programs catering to the parents. It describes how loans from individual programs, and all loans from all sources, are distributed by borrower characteristics, including family income, educational institution, enrollment status, and geographic location.

- Insurance companies provide the largest volume of non-Federally sponsored loans for educational purposes. These loans are made to students' parents.
- The fastest growing source of non-Federally sponsored education loans are credit unions.
- The Guaranteed Student Loan Program has been growing at a 39 percent annual rate since 1973. By far most of this growth is concentrated in the State agency portion of the program which has been growing at an annual rate of 46 percent per annum.

A Study of Sources of Loan Funds for Students and their Parents
Philadelphia, Pennsylvania
The Higher Education Finance Research
Institute, August 1979

For further information about this study,

Contact: Peter Kuch
(202) 245-7884

Study Assesses the Effectiveness of School Procedures in Making Loans to Students - The Guaranteed Student Loan Program

Strong action during the past several years by the U.S. Office of Education in limiting, suspending, and terminating postsecondary schools which make guaranteed loans directly to students has raised a question as to the quality of loan administration by the direct lender schools which remain in the program. This study indicates that:

- Present proprietary school direct lenders have generally well-administered operations which closely conform to Office of Education regulations.
- Quality program administration is largely a function of the school's expenditure of sufficient funds to adequately staff all aspects of loan program operations.
- School lenders, both proprietary and institutions of higher education, generally do not make an active effort to maintain contact with borrowers during the grace period of the loan.
- Borrowers at these direct lender schools are usually aware of their legal obligation to repay their loans but are often not aware of the terms of the repayment or of the likely monthly repayment amounts.
- Borrowers attending these proprietary schools reported almost no pressure from school officials to enroll.
- Almost one-third of interviewed borrowers would have preferred a larger loan amount than they obtained.

Morrissey, Daniel H.
A Study of Selected Institutions and Borrowers Participating in FISLP
Washington, D. C.: U.S. Office of Education, Office of Evaluation and Dissemination, September, 1979

For further information about this study,

Contact: Dan Morrissey
(202) 245-8130

A New System of Scoring for Eligibility Criteria for Institutions Developed Under Regulations for HEA Title III - Strengthening Developing Institutions

Recently approved regulations for the HEA Title III Program require that for program eligibility purposes resource poor institutions must be serving substantial numbers of low income students. This study developed a scoring system to implement that requirement for FY 1979. It was later updated for the FY 1980 funding cycle.

- o The regulations established two measures for scoring: (1) The institution's wealth as measured by the average educational and general (E&G) expenditures per full-time equivalent student (FTE). (2) The number and neediness of low income students which is measured by the average Basic Educational Opportunity Grant (BEOG) award per FTE undergraduate.
- o The scoring system involves the ranking of all schools within similar groups of type and control, and assigning points from 0 to 100 reflecting the distribution of BEOG per FTE undergraduate and E&G expenditure per FTE student within these groups.

Mescher, David D.
A System of Scoring for Eligibility for Institutions Under the Title III - The Strengthening Developing Institutions Program,
Washington, D. C.: U.S. Office of Education,
Office of Evaluation and Dissemination,
July, 1979

For further information about this study,

Contact: David Mescher
(202) 245-8130

Evaluation of Criteria for the Recognition of Accrediting and State Approval Agencies

Recognition by the Commissioner of Education of accrediting and State approval agencies is the principal means of establishing eligibility to participate in Federal student aid programs by postsecondary education institutions. An evaluation of the criteria and process for recognition will be completed late in 1979. The study will report its findings in the following areas:

- assessment of the validity and reliability of recognition criteria;
- develop a means for comparative weighting of the criteria;
- examination of alternatives to the present recognition criteria and processes for recognition;
- develop ways for accreditation agencies and State postsecondary licensing agencies to evaluate the validity and reliability of their own standards and procedures.

Warren, Jonathan R. et al.,
Evaluation of Criteria for the Recognition of Accrediting and State Approval Agencies,
Berkeley California: Educational Testing Service, November, 1979

For further information about this study,

Contact: Robert H. Berls
(202) 245-8130

Collective Bargaining Shown to Effect the Accreditation Process

This study reviewed the progress of collective bargaining in postsecondary education. The overall results of the study indicate that:

- Collective bargaining has been shown to affect the accreditation process, classroom instruction, academic policy making, governance, quota systems for promotions and tenure, and, to some extent, access of students and the quality of institutions.
- No evidence indicates that collective bargaining leads to increased salaries over a long period of time; however, fringe packages and job security tend to be affected.
- The impact of collective bargaining at the postsecondary level in terms of each of these separate aspects varies greatly, from institution to institution, and, from agreement to agreement.

Whereas collective bargaining does not appear to merit immediate concern in terms of its impact on the management and effectiveness of USOE postsecondary programs, it can be expected to have increasingly significant effects on institutional responses to declining student enrollments, professional staff development, and special or innovative programs.

Willis, Richard
The Impact of Collective Bargaining
on Postsecondary Institutions
OED Staff Paper, USOE
September, 1979

For further information about this study,

Contact: Peter Kuch
(202) 245-7884

Results of Study to Assist States in Forming their own Guarantee Agencies - The Guaranteed Student Loan Program

Section 421(c) of the Education Amendments of 1976 required Office of Education support of non-agency States in forming their own student loan guarantee agencies. The study supplied to these non-agency States results of a cost audit and management analysis of 22 existing State agencies. It indicated that:

- Internal management information systems and external reporting forms need major strengthening by States and by OE.
- State agencies are particularly successful at inducing banks to participate in the student loan program and to increase the amount of capital made available to borrowers.
- State agency accounting systems need major improvements and data processing systems require further analysis to produce more efficient operations.
- State agencies are efficient in processing default claims and effective in their collections efforts which are predominantly contracted to commercial collections firms and/or law firms.
- State guarantee agencies are financially viable as a result of financial incentives provided in the 1976 legislation and can be independent of any need for State appropriations.

Morrissey, Daniel H.
A Study of Requirements for Forming
State Guarantee Agencies,
Washington, D. C.: U.S. Office of Education,
Office of Evaluation and Dissemination,
July, 1979
For further information about this study,

Contact: Dan Morrissey
(202) 245-8130

Changes in Purchasing Power of International Education Appropriations
(OED Staff Paper)

Shifts in currency exchange rates and in international prices affect the purchasing power abroad of U.S. dollars. Such shifts are of concern to the Fulbright-Hays program since most program funds are spend abroad. A recent study analyzed changes in currency exchange rates, international prices, and purchasing power of U.S. dollars. The study found that:

- Exchange rates, or the cost of foreign currencies, actually decreased by 2.7 percent during 1971-77. Price levels abroad, however, increased by 98.6 percent during the same period. The combined effect of these two factors was an 82.7 percent increase in the cost of operations abroad. This is equivalent to a 10.5 percent rate of inflation in foreign prices compared to a 6.7 percent domestic inflation rate.
- The effect of these changes on appropriations for the Fulbright-Hays program indicates that Fiscal Year 1977 appropriations purchased only 82.5 percent as much as Fiscal Year 1974 appropriations. A Fiscal Year 1979 appropriation of at least $4,000,000 would be necessary in order to fund operations at the Fiscal Year 1974 level.

Changes in Purchasing Power of International Education Appropriations, Technical Paper, Office of Evaluation and Dissemination, U.S. Office of Education, September, 1978

For further information about this study,

Contact: Robert H. Berls
(202) 245-8130

Specific Federally Funded Graduate Education Programs Meeting Objectives

A congressionally mandated report required annually, indicates that three programs funded under Title IX of HEA (the Public Service Program, the Domestic Mining and Mineral and Mineral Fuel Conservation Program and the Legal Training for the Disadvantaged) appear to be achieving their objectives of:

- increasing the supply of qualified public servants particularly at the State and local level;
- supporting qualified needy students in achieving advanced degrees in domestic mining;
- increasing the number of lawyers from disadvantaged backgrounds.

The report also listed the first year awards made in the Graduate and Professional Opportunities Program. Awards were made to:

- persons traditionally underrepresented in various graduate fields;
- the majority of awards went to minorities and women.

Commissioner's Report on Title IX of the Higher Education Act, 1979

For further information about this study,

Contact: Ann Hershner
(202) 245-8130

Nearly One-half of Graduate Schools have Special Programs for Females and Minority Graduate Students

A recent survey of a sample of colleges and universities that award a professional degree, a doctorate degree or some other degree beyond the master's indicated:

- forty-six percent of graduate institutions had at least one formal program specifically designed for females or minority graduate students;
- thirty-nine percent of such institutions made special recruitment or admission efforts;
- thirty-five percent of the institutions had special financial aid programs;
- twenty-four percent had special academic assistance programs.

Special Programs for Females and Minority
Graduate Students - A Higher Education
Panel Survey 1978

For further information about this study,

Contact: Ann Hershner
(202) 245-8130

Black Graduate Schools have Students, Need Resources

A recent study which compiled data on 32 Black graduate schools indicated:

- these schools educate substantial percentages of Blacks enrolled at the graduate level in certain disciplines. The percentages range from 5 percent in engineering to 43 percent in agriculture and natural resources to 72 percent in veterinary medicine;
- together these graduate schools offer 35 doctoral and 507 master's degree programs;
- these schools have pressing needs for more adequate resources, library buildings, laboratories and fellowships;
- approximately 70 percent of the 18,584 enrolled Black graduate students attend school part-time.

Sister Jean Lynch: "Maximizing the
Productivity of 32 Black Graduate
Schools," 1978

For further information about this study,

Contact: Ann Hershner
(202) 245-8130

Sex Equity Can Be Improved in Public-School Vocational Education Programs

This study was designed to meet a Congressional mandate in the 1976 Amendments to determine the extent to which sex discrimination and stereotyping in vocational programs had been reduced or eliminated. Findings indicate that overt discrimination, such as rules denying admission on the basis of sex has been reduced. However, many practices exist which tend to discourage students from entering nontraditional practices before they are enrolled and further discourage them once they are enrolled. Despite societal factors outside the school which exert powerful influences on the aspirations of youth, study findings indicate that the school can have an impact, since there is a strong positive correlation between the level of equity activity in a school and the proportion of nontraditional enrollment in that school. However, little action was evident at the school level to foster equity -- particularly student-oriented activity.

Few States or schools were engaged in community and employer activities. Yet these activities -- particularly with employers -- seem to be a critical ingredient in the success of efforts to promote sex equity. There is also evidence that efforts to achieve equity in staffing patterns have a positive effect. Those schools with higher "internal affirmative action" activity indexes also tended to be those with higher proportions of nontraditional teachers.

Harrison, Laurie, et. al. Sex Equity
Study of Vocational Education. American
Institutes for Research, Palo Alto,
California, 1979.

For further information about this study,

Contact: Dorothy Shuler
(202) 245-8877

Newly Developed Data on Vocational Education Systems

A major comprehensive study of the vocational educational systems in each of the States and Territories has provided the first thorough description of each State's governance structures, delivery systems, and funding arrangements.

Prior to this study, heterogeneity among the several States was known to be characteristic of vocational education; the study documents the differences. During the conduct of the study, the degree of informational gaps, which were recognized at the outset of the project, were found to be even greater than anticipated.

The project reports on the organization, governance, and financing of the State systems, on the organization at the local levels within each State, on State financial policies as they relate to vocational education facilities, equipment, and program operations. The number, characteristics, and utilization of the several types of vocational educational institutions are developed for the first time.

The general characteristics of some 6,660 institutions (5,560 secondary and 1,100 postsecondary) are described. Among these characteristics are the geographical distribution patterns of the institutions, facilities construction patterns, numbers and distribution of shops and laboratories of these institutions, their reported facilities condition, and accessibility to handicapped persons.

Among the data generated are:

- The greatest concentration of institutional stations (shops and laboratories spaces) is in communities of 25,000 - 100,000.
- In 1965, 40 States financed construction projects with VEA funds; in 1975, only 21 States used such funds.
- The proportion of Voc Ed facilities reported as totally inaccessible to the handicapped is greatest among Vocational High Schools (over 30% are inaccessible), compared to lesser rates at the five other categories of Voc Ed institutions.

Westat, Inc.
National Study of Vocational Education Systems and Facilities
(3 volumes).
Rockville, Maryland 20852

For further information about this study,

Contact: Edward Rattner
(202) 245-8380

Two Federal Library Programs Have National Impact

A study of the Library Research and Demonstration Program (HEA IIB) and the Inter-library Cooperation Program (LSCA III) found that both programs were making significant contributions to the improvement of libraries in this country.

The Research and Demonstration Program has provided millions of dollars for innovative research and demonstration, where either very few or no other funds were available. Local projects often focused on providing library service to minorities and on the utilization of new technologies. Nationally, a series of awards contributed to the development and improvement of the Ohio College Library Center (OCLC) in its early formative years. The bibliographic functions of OCLC represent one of the more important advances in library and information science in recent decades.

The Inter-library Cooperation Program is responsible in part for the development of multi-type library cooperation and networking, especially at State and regional levels. It was also found to be a major influence on modifying or passing State leglisation favoring cooperation and networking.

Both the Research and Demonstration program and the Inter-library Cooperation Program were found to require higher funding levels. They need to sharpen the focus of the Programs and to improve dissemination of program results.

Applied Management Sciences.
A Study of Library Cooperatives, Networks, and Demonstration Projects (2 volumes).
Silver Spring, Maryland 1978

For further information about this study,

Contact: Arthur S. Kirschenbaum
(202) 245-8380

ESAA-TV Making Slow Inroads In Reaching Target Audiences

USOE had funded the development of 11 television series by 1977 to aid in achieving the goals of the Emergency School Aid Act. A survey was conducted to determine various aspects of viewership. The series are directed primarily at various school-age minority groups. Availability to potential target audiences ranged from 3% to 81%. Awareness of the series by children generally fell in the 20% to 40% range. Less than one-third of the children interviewed have seen one or more ESAA-TV series. Less than 10% preferred the ESAA-TV show over a competitor in the same time slot.

A comparison of ESAA-TV with other purposive television indicates viewership in a similar range. Evaluation of ESAA-TV as an alternative to the reduction of cultural isolation could not be made as the necessary data is not currently available.

The report recommended that the time spent on the series by commercial carriers be increased, as well as an increase in school use. It also recommends showing the series at certain times (e.g., Sunday morning) as a way of increasing viewership. These recommendations are being implemented.

Applied Management Sciences. A Survey Of Viewership Of Television Series.
Sponsored by ESAA Legislation.
Silver Spring, MD. 1978.

For further information about this study,

Contact: Arthur S. Kirschenbaum
(202) 245-8380

State Plans for Career Education Strengthened as Result of Evaluations

A project just completed has provided 49 States and Territories with evaluations of their State plans for implementing career education. Initial support for developing these plans was provided under Public Law 93-380 during Fiscal Years 1976 and 1977. The project, which started in September 1978, identified ten elements of a model State plan. Criteria were developed for each element so that a plan could be rated on a three-point scale of "strong," "adequate," or "weak" on each criterion. An overall rating for each element was then provided on a five-point scale.

Each of the 49 States and Territories which had submitted a plan before May 1979 was given a preliminary rating of its plan. As a result of these preliminary ratings, 23 (47%) received an overall rating of 3.0 or higher. In response, over half of the States (28 or 57%) voluntarily provided revisions and/or additions in order to remedy weaknesses. Final ratings were then sent to all States. This time there were 30 (62%) rated 3.0 ("Adequate") or better. Seven of the plans were rated "Strong" and only three were considered "Weak."

All States and Territories were also provided with a guide to help them adapt their plans to meet the requirements of P.L. 95-207, the new Career Education Incentive Act. Both the assessment under the old Law and the guidance for complying with the new Law were provided during the Spring of 1979. The States were thus able to incorporate the information gained through the individual evaluations of their plans plus the additional guidance in preparing a new five-year plan required by the Incentive Act. These plans will form the basis for funding in Fiscal Year 1980 and beyond.

Mitchell, A. M. and Others. Assessment of State Plans for Career Education. Southwest Regional Laboratory for Research and Development, Los Alamitos, California. July 1979.

For further information about this study

Contact: Alice Scates
(202) 245-8380

E. USES OF OED EVALUATION ACTIVITIES

E. Uses of OED Evaluation Activities

While the design and conduct of good evaluations are difficult, costly, and time consuming, the application of evaluation findings is even harder to accomplish. Evaluation findings must be intricately timed with policy, budget, and legislative processes in order to influence them. There is inevitable resistance to accepting critical judgments about programs, and great difficulty in overcoming the inertia of established practice in attempting to make change. Nevertheless, a large number of the evaluations begun since 1970 have come to completion. There are indications that some evaluations have had, and are having, an influence upon decisions about programs, budgets, and legislated authorities.

Formal evaluation reports, cited frequently in the Office of Education appropriations hearings, played an integral part in shaping the 1980 budget. During the hearings, Subcommittee members requested specific evaluative data well over 100 times. Further, statistical questions about the number of staff used to implement a program, the number of participants served by a program, the cost per program participant, etc., were often answered with data supplied by evaluative studies. The testimony also shows that evaluation reports are an effective means by which to hold the Office of Education accountable for program quality. Many times Subcommittee members requested specific information about how OE is rectifying problems pointed out in program evaluations. For example, during the Senate Subcommittee hearings the Commissioner was asked to submit a list of major improvements in education programs which had been implemented as the result of evaluations carried out by OE. In his response, the Commissioner cited specific revisions and improvements in the Bilingual Education, National Diffusion Network, Guaranteed Student Loan, Campus-Based Aid, ESEA Title I, and Emergency School Aid programs. Also, OE witnesses were often asked to justify requested program budget increases by providing evaluative data showing the program's impact. In the House Subcommittee hearings, Representative Conte requested information about evaluation reports which would support OE's $3.478 billion request for the ESEA Title I Programs. Further, in both House and Senate Subcommittee hearings there are several instances of criticism directed at the lack of evaluation data for certain programs. For example, Representative Yates was critical of the lack of impact information about the Indian Education Programs provided in the House hearings.

In addition to testimony, the impact of evaluations in determining program funding is reflected in both Subcommittee Reports. Often Subcommittee recommendations concerning the budget were supported by citing evaluative findings regarding the program. For example, the Senate report recommended an increase of $14.9 million over the Administration's request for magnet schools because recent evaluations show the program to be highly effective in achieving voluntary desegregation and in improving community attitudes toward schools.

Finally, statements made by Senate Subcommittee members during the hearings show strong support for the use of formal evaluations. One member noted, during discussion of program evaluations: "Each year we provide funds to the Office of Education for the purpose of evaluating education programs. We believe that it is a very important function for the Office of Education to regularly evaluate programs to make sure that they are being effectively run and that they are carrying out the intent of the law."

In sum, during the appropriations process, formal evaluation reports proved instrumental in providing statistical data, effecting accountability, justifying requested budgetary increases, and determining program allocations.

Within the Office of Education, the Office of Policy Studies has used evaluation findings in policy papers with recommendations for reauthorization proposals in legislation, in briefing memoranda for OE policy meetings, and in background materials on OE programs.

In response to increased interest in the utilization of evaluation, the Department and its agencies are planning to develop monitoring systems for utilization. The Department's intention is to monitor the extent to which USOE evaluations are used to:

- meet specific information needs of individuals or Congressional committees who requested the study
- affect the design and performance of the program evaluated
- affect the attitudes, opinions, or positions of those involved in debates on specific policy issues
- meet other information needs.

The Office of Education has proposed to the Department of Health, Education, and Welfare that a "Division of Audit Management and Evaluation Follow-Up" be established in OE to help ensure that evaluation recommendations for the improvement of programs operations will be utilized within the agency. As proposed, the Division would do follow-up and analyses to determine the degree of acceptance and compliance with the specific recommendations of program evaluation reports issued for the Office of Evaluation and Dissemination. The Division's responsibilities would include: reviewing evaluation recommendations on program and policy; identifying organizational units, action steps and timelines for implementing evaluation recommendations; monitoring the implementation of action steps and timeliness; resolving conflicts in implementation; and assessing the applicability of program-specific evaluation findings to other program and policy areas.

The following paragraphs summarize the impact of a number of evaluation activities upon program operations, policy legislation, and budgets.

- The evaluation models developed in the Office of Evaluation and Dissemination for ESEA Title I programs and projects, and the assistance provided to States and school districts in the evaluation of their ESEA Title I activities are being widely used. During the 1978-79 school year, approximately 60 percent of the Nation's Title I districts implemented one of the models to evaluate their instructional services supported by Title I. A Notice of Proposed Rule-Making was published in February 1979 to require use of the models, and four regional hearings were held. Publication of final regulations will direct all or an approved representative sample of districts in each State to use the models beginning in school year 1979-80. Consequently, use of the help available through the Technical Assistance Centers under contract to OE continues to increase. The Centers have been staffed with nearly 140 professionals to meet the requests for help.

Testifying in May 1977 before the House Subcommittee on Elementary, Secondary, and Vocational Education, Chief State School Officer Barbara Thompson of Wisconsin noted, "legislatively supported Title I Assistance Centers, technical assistance for State and local education agencies. . . have been successful in enhancing State agency capabilities to comply with educational data demands, but represent only a minor investment in addressing a major problem. I would definitely recommend increased appropriations and support for this type of activity." At that time, Ms. Thompson was Chairperson of the Committee on Coordinating Education Information, Council of Chief State School Officers.

Similar comments were offered by two State Title I Coordinators invited to testify before the Elementary, Secondary, and Vocational Education Subcommittee of the House Education and Labor Committee on March 6, 1979. Mr. Oliver Himley of Iowa, who was also the President of the National Association of Coordinators of Title I Programs, described the use of the evaluation models in his State, the evaluation data from their use, and the positive role of his Technical Assistance Center. Similarly, Ms. JoLeta Reynolds of Tennessee noted the use of the evaluation models by all Title I districts in her State, the role of her Technical Assistance Center in making that possible, the resulting impact data, and some interpretative comments about the nature of the new metric being used.

- The Congressional Record of July 13, 1978, carries the following remarks during the House debate on H.R. 15, the Education Amendments of 1978:

  ". . .the 1974 legislation called for several changes in evaluation. We required a comprehensive study of the operation of Title I, the development of improved evaluation designs, and the provision of large amounts of high quality technical assistance to State and local program staffs.

  "These efforts were amply rewarded. State and local program staff and parents have invested enormous amounts of time and energy toward improving the evaluation of local projects. The Committee entered this reauthorization period with a wealth of sound program information. There is now solid evidence that at the local level, improvements in evaluation were accompanied by genuine improvements in the Title I programs, and greater success for Title I children. We can be proud of this."

- An evaluation completed in 1978 of the impact of the ESEA Title VII Spanish/English bilingual education program had a marked influence on the ESEA Title VII legislation, associated program regulations, and the Office of Bilingual Education. Two major findings from the study were that (a) on the average approximately one-third of the participating students in grades 2 through 6 were of limited English ability, and (b) program participation did not produce significant achievement gains in English Language Arts or Mathematics. In response to these particular findings, the Education Amendments of 1978 (ESEA Title VII) modified the Bilingual Education Act to clearly indicate that the primary purpose of a bilingual education project is to assist students in becoming competent in the English language and, when this has been achieved, participating students are to be transferred to a regular classroom. Additionally, such services are to be provided to those students having the greatest need. The new legislation specifically dictates that no more than 40 percent of the students in a bilingual education project may be proficient initially in English. Furthermore, the Education Amendments of 1978 require the development of methods for identifying children of limited English proficiency who are in need of bilingual education, and evaluation models by which the effects of such programs in promoting student achievement may be evaluated. Two additional points are noteworthy: (a) the program regulations published in March 1979 require that an application for funding for a Basic Program grant must specify the manner in which students having the greatest need for program services will be selected, the procedure by which a participating student will be transferred to the regular classroom once able to function effectively in school in English, and the manner in which follow-up assistance will be provided to the transferred students; and (b) the 1979-completed Bilingual Education Program Audit contains several recommendations (e.g., program changes pertaining to entry/exit criteria and project quality) which are attributable, at least in part, to findings from the study.

The uses made of the study's findings are well summarized by comments of the U.S. Commissioner of Education during the 1979 Senate Appropriations Hearings: ". . .Senator, that study was very significantly related to some major moves we made. The first move we made was to change the director of the office. The second move we made was to call an internal audit that dealt with the staffing and the program procedures in that office. The third move we made was to shape significantly our legislation for reauthorization this past year and the Administration was focused specifically on the bilingual program for the teaching of English for children who were English-deficient; and in both the Administration internally and establishing more clearly our goals as to what the program was to be and in the new legislation, it was a very major and important influence. More than that, Secretary Califano established an internal tracking procedure in which we are to report quarterly on certain program areas, and one was bilingual education to demonstrate to him at least four times a year that our goals of increasing the number of deficient children in bilingual education were being met; and for the first time this year those who are getting under the bilingual program are required to test the children who come into that to show that they are in fact language deficient, and they are submitting to us then progress reports on the performance of the children. I do believe that the impact of that study was a significant one and the reason it's significant in my mind is that the publicity surrounding the bilingual evaluation was widely publicized very shortly after I assumed my duties and I had considerable obligation to try to responsibly respond to those. So I think the data--now it's true that we continued modestly to increase the bilingual funds, but I think we did have in it a contrast of sharply improved purpose, and I might say better management."

The House Committee on Appropriations, in its report of June 1, 1978, on the Fiscal Year 1979 Appropriation Bill, encouraged the OE Commissioner ". . .to vigorously pursue efforts underway to overcome the deficiencies in bilingual education projects revealed in the recent evaluation study of the Federal program." Many school officials have requested the study reports, whose findings have been discussed on two national television programs: "60 Minutes" and the "MacNeil/Lehrer Report." The evaluation methodology used in the impact study has been presented as a teaching example by a private national publication aimed at improving school-district evaluation.

Previously, the interim report from the same study had influenced proposals for reauthorization of the Elementary and Secondary Education Act. The Education Daily of June 6, 1977, carried one comment that proposed changes for the bilingual education program had been "prompted" by recent evaluation reports sponsored by the Office of Education. Several proposed changes directly addressed the Impact Study's findings on English-language proficiency levels and English-language achievement gains of project students.

As a further result of the interim report from the Impact Study, the Senate Committee on Appropriations expressed its concern regarding selection and retention of students in Title VII projects. In its Report accompanying H.R. 7555, the FY 1978 Appropriations Bill, the Committee referred to the evaluation in expressing its concern and then directed DHEW to make ". . .whatever administrative changes are necessary to ensure that bilingual education projects are primarily focused on achieving English language competence and returning students to English Language Classes."

- o The mandated annual data collection under Section 437, GEPA, regarding State and local use of Federal education funds produces a data base which has been of value to many organizations. The data base is the only complete source of information listing actual recipients of Federal education funds under the State-administered (formula grant) Federal education programs.

  Organizational users include the Rand Corporation, University of California (Berkeley), the National Education Association, and several OE/OED contractors. The data base has also been used by OED to provide special analyses requested by the Congressional Research Service, the Department of Agriculture, and the Office for Civil Rights in the Department of Health, Education, and Welfare.

- Several OE studies that attempted to identify effective projects in compensatory education led to the planning and implementation of the Packaging and Dissemination Program which in recent years became the National Diffusion Program under the authority of Title III Special Projects in P.L. 95-561. The program promotes the implementation of effective educational projects whose development was supported by OE. To date, after approval by the Education Division's Joint Dissemination Review Panel, 127 projects have entered the National Diffusion Network (NDN) for dissemination across the nation as "Developer-Demonstrator" sites. During the 1978-79 school year, there were 2,185 adoptions of those projects. All 50 States, the District of Columbia, the Virgin Islands, and Puerto Rico had an NDN "State Facilitator" whose responsibility was to bring together potential adopter sites with appropriate Developer-Demonstrators. State facilitators also provide support services to adopter sites during project implementation.

  Evaluation of the National Diffusion Network and related studies on school improvement have influenced strategies to place more emphasis on the quality of implementation, fidelity of adoptions, and the impact of the programs on learners in the adopter sites. These studies also influenced the move to make the Network serve all of OE as part of the Office of Evaluation and Dissemination.

- In the Fall of 1977, a search was made for career education projects which had already been evaluated, and 257 written reports of such evaluations were collected. The reports were analyzed, and ten projects were identified as having produced strong evidence of effectiveness through their evaluations. These ten were submitted to the Education Division's Joint Dissemination Review Panel. Of the ten, seven were approved in 1978 as exemplary projects, and information about them is now being disseminated through the National Diffusion Network. However, the analyses of the 257 evaluation reports showed that most persons at the local level who were evaluating career education activities needed more technical assistance in understanding the uses of evaluation and in developing the designs for carrying out evaluations of different activities.

  An earlier OE contract had produced the first career education evaluation handbook in September 1975. It was entitled Evaluation and Educational Decision-making: A Functional Guide to Evaluating Career Education. As a result of this later study, a second handbook was prepared which is broader in scope than the first. The new guide provides models for evaluating six different kinds of career education activities whereas the first handbook concentrated on student outcomes. In order to make it widely available, the new guide has been published commercially under the title Evaluating Career Education: Some Practical Models.

- As a result of a project just completed, 49 States and Territories were provided with evaluations of their State plans for implementing career education. These plans were developed initially with funds provided under Public Law 93-380 during Fiscal Years 1976 and 1977. When the project started ten elements of a model State plan were identified and criteria were established for each element. All available State plans were then rated as "strong," "adequate," or "weak" on each criterion with an overall rating established for each element.

  When the States and Territories received the preliminary ratings of their own plans, well over half of them (28 or 57%) voluntarily provided revisions and/or additions in order to remedy weaknesses which had been pointed out to them. Final ratings were then sent to each of the 49 States and Territories.

  In addition, a guide was developed to assist all States in adapting their plans to meet the requirements of the new Career Education Incentive Act (P.L. 95-207). Both the assessment under the old Law and the guidance for complying with the new Law were provided during the Spring of 1979. This enabled the States to incorporate the information gained through the individual evaluations of their plans as well as the additional guidance in preparing the new plans submitted July 1, 1979. These new plans will form the basis for funding in Fiscal Year 1980 and beyond.

- An improtant outcome of Federal evalution studies has been the publication and distribution of "how-to" handbooks on topics in the area of education evaluation. Four handbooks are currently available, and several more are being written. The Government Printing Office has sold more than 14,000 copies of the first one published, A Practical Guide to Measuring Project Impact. In addition, OE distributed nearly a thousand copies. More than 12,000 copies of the second handbook, A Procedural Guide for Validating Achievement Gains, have been sold since it became available. The third monograph, dealing with estimation of education costs, became available from the Govenment Printing Office and from OE in early 1979. The fourth, entitled Use of Sampling Procedures with the USOE Title I Evaluation Models, describes a variety of strategies for using samples of students and/or test items in program evaluations.

- Many of the recommendations in A Study of the State of Bilingual Materials Development and the Transition of Materials to the Classroom, are being implemented by OE to make improvements in the materials development and dissemination process:
  (a) The function of each of the three kinds of ESEA Title VII Centers will be more clearly defined in order to minimize duplication of effort and provide a more efficient process for development and dissemination of materials. Contracts will replace grants as the funding mechanism.

(b) A major product of this study, an inventory of approximately 3,000 bilingual materials (in computer-tape format) has been turned over to the National Clearinghouse for Bilingual Education. This compilation will form the basis for a data bank, to be periodically updated, of bilingual materials.

(c) Proposed regulations stress more effective coordination among Title VII Centers and also among State Education Agencies and the Centers in the kinds of bilingual materials to be developed. The coordination would include expanded information-dissemination efforts and cooperative strategies for bilingual-materials needs assessment.

- A recent study of the Higher Education Act's Title III--Developing Institutions Program (Harvard Graduate School of Education, *The Development of Institutions of Higher Education: Theory and Assessment of Impact of Four Possible Areas of Federal Intervention*) found that funded and non-funded institutions were not significantly different in expenditures per FTE student, average faculty salaries, percentage of low-income students, endowment, or any other commonly used institutional characteristic. The results of this study were at least partly responsible for many features of the new regulations for the Title III program. In addition, extensive staff papers were developed to provide a set of eligibility criteria to be used in implementing the new regulations.

From an earlier major study and a series of smaller related efforts for the Developing Institutions Program, the concept of the Advanced Institutional Development Program was developed. Study results were also used for definition of program purposes and operational guidelines as the new program moved toward implementation. The basic elements of a planning and management system were defined, together with suggestions for selecting institutions for the program.

- The National Longitudinal Study of the High School Class of 1972, funded by OED and the National Center for Education Statistics was employed to generate information for the Department of Justice's examination of postsecondary admission/selection procedures. DOJ employed the analyses of the expected impact of the three procedures on minority participation in the preparation of a Friend of the Court brief for the U.S. Supreme Court hearing of Bakke vs. University of California, Davis.

- During a study entitled Improving Consumer Protection Functions in Postsecondary Education, a student consumer-assistance kit was developed. The kit is entitled "Safeguarding Your Education: A Student's Consumer Guide to College and Occupational Education," and contains two audio cassette tapes and background information which explores available options for students before making decisions. This student information kit is now being commercially distributed.

- An OED technical report, An Alternative Approach to the Distribution of Campus-Based Aid provided the framework for the new system of allocating campus-based student financial aid to institutions of postsecondary education. This new system differs from the past process by:
  - (a) providing an objective measure of institutional need for funding based on easily obtainable and verifiable data;
  - (b) being simpler than the past process and much less expensive;
  - (c) eliminating the burdensome and overly subjective "panel review process"; and
  - (d) being based on the premise that students of equal need should be treated equally.

- The Study of Requirements for Forming State Guarantee Agencies has been utilized by the OE Bureau of Student Financial Aid, the Congressional Research Service, and by the House Subcommittee on Postsecondary Education in relation to the reauthorization hearings on the Guaranteed Student Loan Program. Material from the final report of 1979 was included in the testimony given by the Secretary when the Administration's proposal was presented to the Subcommittee.

A cost-and-pricing model has been jointly developed by the Office of the Assistant Secretary for Planning and Evaluation and OED to indicate the most probable ten-year cash flows for the proposed National Student Loan Bank. The structural basis for this model had been developed under a prior contract.

- In FY 1979, a number of Postsecondary Division staff studies were completed. Two were used in the budgeting and legislative processes. A third study, "Changes in Purchasing Power of International Education Appropriations", was used extensively in the budget development for FY 1980 by OE program staff. Finally, another study, which focused upon the prospect of making the National Direct Student Loan Program self-supporting, was used by Congressional staff during the reauthorization process.

- A Study of the ESAA Nonprofit Organizations (NPO) program led to substantial proposed changes in the regulations for the program. Numerous provisions which promoted school district dominance over NPOs were eliminated in draft regulations published on June 29, 1979. For example, applicant NPOs no longer are required to provide school districts with 15 days to review the NPO proposal, offer recommendations, and submit comments to the Office of Education. The evaluation had found that school district dominance over NPOs had prevented them from engaging in activities closely related to desegregation needs.

- Several recent ESAA evaluations found problems with the targeting of ESAA funds, pointing out that many school districts receiving aid had desegregation efforts which were completed years ago. Many of these districts (and nonprofit organizations as well) used ESAA funds to operate compensatory education programs, which is not generally perceived to be the major purpose of a program for emergency school desegregation aid. The legislative proposals and the subsequent 1978 amendments to ESAA carefully considered these evaluation findings. The amendments reduced the compensatory education nature of ESAA and assigned highest priority for ESAA funding to districts that have recently desegregated. (The relevant ESAA studies are: An Assessment of ESAA Program Operations; Magnet Schools and Desegregation: The Study of the Emergency School Aid Act Magnet School Program; and An Evaluation of the ESAA Non-Profit Organization Program.)

- ESAA evaluations agreed that the State apportionment provisions of the law did not allocate funds based on actual need for desegregation aid. The 1978 amendments eliminated one of the three State apportionment programs (Pilot Projects) and eliminated State apportionment provisions from a second (Nonprofit Organizations), leaving only one remaining program unchanged (Basic Grants).

- Another school-desegregation study product, A Handbook for Integrated Schooling, is a non-technical practical guide intended primarily for principals and teachers. It provides concrete illustrations of specific practices and policies as well as suggesting ways of building a school environment that is supportive of school desegregation. Over 70,000 copies of the Handbook have been distributed and it has now been reprinted.

o A study of training and advisory services provided under Title IV of the Civil Rights Act of 1964 led to substantial revisions in regulations governing this desegregation-assistance program. The evaluation found that Title IV needed more Federal direction to focus on needs directly related to desegregation.

Some of the major changes to increase the desegregation identity of Title IV are:

--Race desegregation-assistance centers (formerly called "general assistance centers") must give priority to helping school districts develop desegregation plans. Both centers and State education agencies receiving Title IV aid must give priority to assisting districts which are in the first three years of implementing desegregation plans.

--Race desegregation-training institutes are permitted to provide training only to school districts which adopted desegregation plans within the two years preceding the beginning of the training.

--Activities related to the provision of compensatory education or the development of basic skills are prohibited as desegregation assistance under CRA Title IV.

- The first two reports from A Study of the Sustaining Effects of Compensatory Education on Basic Skills were used explicitly in the reauthorization hearings for ESEA Title I. The first report showed that Title I funds were targeted on schools with high concentrations of poverty children to a remarkable extent but that some schools with low concentrations of such children were also receiving funds. These results were used in the hearings (See pp. 143-147 of Hearings, Part 16) and were cited explicity in the conference report (See p. 6 of H.R. 15).

The second report dealt with the extent to which services were focused on the most needy students as guaged by their achievement status and economic background. The results of this study played a central role in the debate as to whether or not the basis for allocating funds should be changed from economic to achievement criteria (See pp. 184-191 of the Hearings, Part 16, and pp. 188-225 of Part 19).

Results available from this study were also used in the most recent appropriations hearings to respond to questions concerned with the kinds of compensatory services that are offered, the ways in which they are provided, and the attributes of students who receive them.

- A report dealing with the planned variation aspect of the Follow Through program (Education as Experimentation: A Planned Variation Model, Abt Associates, 1977) was quoted in a House report on the program (House of Representatives, Report No. 95-1151 accompanying H.R. 7577, Economic Opportunity and

Community Services Amendments of 1978). The same report was used to provide data to the Education Division's Joint Dissemination Review Panel (JDRP), which validated a total of 21 Follow Through projects. These projects are now demonstration sites. The Follow Through evaluation stimulated extensive methodological discussion, both for its technical analysis and as an example of a large-scale field study. Numerous articles have been published examining its methodology and its results.

Although the results of the Follow Through experiment did not meet the expectations of many early-childhood educators, the results have sparked further debate about the desirability of structured teaching approaches versus "child-centered" methods in compensatory education.

o After the first year of a planned three-year study of Special Emphasis projects in the Right-to-Read (Basic Skills Improvement) program, a national meeting of project site directors was held in February 1978 to discuss preliminary study findings. Those findings included a review of the initial year's activities to correct any possible deficiencies in implementing the experimental model which could negatively affect the findings. After the review of the experimental performance at each of the seven sites, the site directors agreed to implement study recommendations regarding enhanced summer school programs and the on-site increased involvement of the project directors themselves.

Subsequent visits to the sites confirmed compliance to these recommendations.

- A number of studies have contributed to the development of two budget projection models for student aid programs in post-secondary education. These include (1) the BEOG Enrollment/Student Aid Model and (2) the GSLP Loan Flow Model (which projects interest subsidy and defaults over the past 5 years.) These models were developed to study the impact of alternative student aid programs by simulating program costs, by estimating impact on participants, and for a variety of other planning and analytical purposes.

The BEOG Enrollment/Student Aid Model was used by both the Administration and Congress to project the estimated costs and benefits of the Basic Grant Program during the hearings on the Higher Education Amendments of 1972 and 1976 and for subsequent budget submissions and planning activities.

The GSLP Loan Flow Model, which was preceded by a historical analysis of program operations, has been used to:

(a) identify the potential magnitude of the default problems under specified assumptions of changes in program operations, management, and staffing,

(b) estimate the level of interest and default subsidy necessary for budget purposes,

(c) identify the characteristics of the default experience by institutions, lenders, and borrowers.

- A study of the Guaranteed Student Loan Program recommended that the GSLP Special Allowance paid to banks vary directly for each fiscal quarter with the latest 90-day average of either 91- or 180-day Treasury bills. That study, and the Survey of Lenders in the Guaranteed Student Loan Program, both showed conclusively that lenders were receiving low net yields (or losses) from their participation in GSLP. These findings appear to be directly related to the increase in the maximum Special Allowance from 3.0 to 5.0 percent and the tying of the Special Allowance to the quarterly average yield on 91-day Treasury Bills as mandated in the 1976 Higher Education Amendments.

The Survey of Lenders indicated, as one of its findings, the difficulties which commercial lenders experienced in obtaining current information (including addresses) from educational institutions on the status of borrowers. This finding can be related to a new provision in the 1976 Higher Education Amendments which authorizes a $10 fee per borrower to be paid to the educational institution as an "administration allowance" for provision of timely information to lenders.

Both studies indicated that primary dissatisfaction of lenders was with the delays in payment of claims by USOE, and with the concommitant lack of a provision for payment of interest to the lender during the period after the claim is submitted but before it is paid. The 1976 Higher Education Amendments remedy this situation by providing payment of interest during the period of delay in payment of interest billings. The 1976 Amendments provide for OE payments to a lender of daily penalty interest for any period of delayed payment exceeding 31 days after receipt of an interest billing.

- A Study of Accreditation and Institutional Eligibility has been made available to the Federal Trade Commission and to several Congressional committees. This study has promoted an understanding of the process for establishing institutional eligibility for Federal programs and the limitations of using that process. New FTC regulations relating to proprietary institutions were developed in part on the basis of findings from this study. Legislation was passed in 1976 which was quite consistent with the spirit of the recommendations in the report regarding eligibility of institutions for participation in all student aid programs. Further, the Carnegie Council on Policy Studies in Higher Education made extensive use of this report in its recent publication on Fair Practices in Higher Education (Jassey Bass, San Francisco, 1979).

- In 1971 and again in 1973, when all indications suggested that colleges and universities were near financial disaster, the Cost of College studies identified components of increasing costs as equally divided between inflation and decreasing productivity on the part of the faculty. Since faculty costs account for over half the cost of education, a substantial part of the increase in the cost of education could have been controlled. The studies influenced the Departmental position to allocate available resources primarily to finance students instead of institutions.

In FY 1975, the finances of 50 selected 4-year colleges were reviewed in detail. Although the first study had suggested that the state of college finances were generally healthy, the last investigation suggested that while no institution in the study group's level had yet closed its doors, a number of the colleges might be on the verge of financial distress. These findings were used extensively for a policy paper on institutional aid which was submitted to the Secretary of HEW in January 1976. A new study in Fiscal Year 1979 has the objective of updating information on the financial condition of institutions.

o The Rand Corporation's Phase I report on its study of ESEA Title IV, ESEA Title IV: Implementation Issues and Research Questions, identified administrative problems in the program. This provided support to legislative proposals adopted in the Education Amendments of 1978 which changed the existing authorities for Parts B and C to allow a more logical grouping of activities. The report also identified problems of nonpublic schools in achieving equitable participation for their students, supporting provisions for strengthening nonpublic school participation. The report also supported recommendations for eliminating requirements for annual competitions for continued funding for local projects. The project staff for the study reviewed proposed regulations to implement the 1978 Amendments and submitted comments to OE, based on its study of the program.

- A report from a major study of Federal programs supporting educational change identified a number of factors contributing to the successful implementation of eduational innovations. Results of the study are being used in various OE efforts, particularly in improving the National Diffusion Network's dissemination activities and the development of strategies for disseminating successful Follow Through models, Project Information Packages, and ESEA Title I exemplary projects. Findings were also cited in Congressional action in targeting new funds for innovation under ESEA Title IV-C and for innovative compensatory education funds, and were utilized in legislative proposals to encourage more local participation in ESEA Title I and Title IV programs. The study has been cited extensively in the research literature on dissemination strategies. The results of the study have also been instrumental in NIE's planning for dissemination of research findings.

- Results from the first phase of the national evaluation of the ESEA Title I program in State institutions for the neglected or delinquent were shared with members of Congress, State offices, and other interested organizations in an Executive Summary distributed in the early summer of 1977. Information from the second phase of the study regarding students' receipt of services and the impacts of the program is currently available.

- The findings and recommendations from A Longitudinal Study of Educational Practices, which investigated the effectiveness of highly intensive, innovative educational practices upon student achievement, were used as part of the hearings associated with the reauthorization of ESEA Title IV in the summer of 1977 (see pp. 217-230 and 382-387 of Part 8 of the Hearings).

- A Study of Compensatory Reading Programs showed that compensatory services in reading supported by ESEA Title I were reaching the most needy students and were supplemental to the regular school reading program. Students who received such services benefited from them either by not falling further behind or by catching up slightly with their more advantaged peers. These results were used in the reauthorization hearings for Title I (see pp. 145-147 of Hearings, Part 16) and were referred to explicitly in the Conference Report (see pp. 6-8, H.R. 15).

  These results were also used by the Congressional Budget Office to recommend an increase in the funding level for Title I (see paragraph below). The results of this study have also been used in preparing budget justifications and in appropriations hearings during the past 3 years.

In January 1977, the Congressional Budget Office prepared a budget issue paper entitled "Elementary, Secondary, and Vocational Education: An Examination of Alternative Federal Roles." The issue paper referred to findings of A Study of Compensatory Reading Programs: A Technical Summary in its discussion of the educational effects of ESEA Title I and in making recommendations on funding levels. It also made extensive use of material from the Annual Evaluation Report on Programs Administered by the U.S. Office of Education, Fiscal Year 1975 in the analysis of the Emergency School Aid Act and of other OE programs.

o Studies have been completed for the Upward Bound, Talent Search, and Special Services programs for Disadvantaged Students. As a result:

(a) Evaluation findings have been used in the writing and/or revision of regulations for the UB, TS, and SSDS programs so as to improve award procedures, overall program management, and monitoring and reporting procedures.

(b) A Policy Implications Memorandum, incorporating the evaluative evidence, was developed for the Commissioner.

(c) Evaluation findings from the two UB evaluations have been used in establishing policies concerning client selection, needs assessment, and coordination among projects and programs.

(d) The findings of the evaluations of Upward Bound have been the basis for several articles concerning compensatory techniques in higher education (e.g., New York Times, Washington Post, UPI).

- A product of the Planned Variations Study was a report on "Student Performance Measures for Evaluative Secondary and Postsecondary Intervention Programs." A copy of this report was distributed to every field project of the Special Services for Disadvantaged Students Program and the Upward Bound Program. Many letters about the usefulness of this report and letters requesting additional copies were received from the field projects.

- The findings and recommendations from The Federal Role in Funding Children's Television Programming have evoked wide interest in the field. The National Association of Educational Broadcasters (NAEB) awarded the 1975 NAEB Book Award for this first major policy study of this area and arranged for commercial publication of the report. The report has been the subject of specific sessions at several professional conventions and was reviewed and discussed by its author and OE at meetings of the Corporation for Public Broadcasting.

- OED's Assessment of Vocational Education Programs for Handicapped Students which reviewed 25 States, and the GAO study of vocational education programs in seven States, were completed during 1975 and both were circulated widely in Congressional committees. Both studies addressed in detail the administrative problems inherent in the existing system and described how States set priorities and allocate funds. Planning was reported as usually short-term and generally directed toward justifying certain projects. Lack of adequate management information inhibited planning and resulted in inadequate monitoring and evaluation at the State and local levels. In the 1976 Amendments to the Vocational Education Act of 1963, Congress requires and authorizes funds for planning and accountability efforts aimed at improving evaluation at the Federal, State, and local levels. The 1976 Amendments also require the development of a national vocational education reporting and accounting system.

o During the final analysis phase of the Assessment of Vocational Education Programs for Disadvantaged Students, an intense effort was made to disseminate preliminary findings. During August 1976, a special interim report was sent to Congress on the status of the legal definition of "disadvantaged students" and its effect on how the program was administered. Preliminary study findings were thus available to the Congress during the drafting of P.L. 94-482, the Education Amendments of 1976.

- On the basis of the Evaluation of the Exemplary Vocational Education Projects Program, Part D, VEA, OE identified seven major areas in the FY 1976 Proposed Rules and Regulations for the program designed to correct weaknesses noted in the report. The study found that there were management problems at both the Federal and local levels which account for a lack of impact in most of the projects. The Program had been in operation only three years when the evaluation was done, and the immediate response through specific changes in operating procedures reflects fairly rapid utilization of evaluation results in a developing program.

- The findings of an evaluation of the Community-based Right-to-Read Program made significant contributions to the guidelines for the establishment of reading academies for adult illiterates. Legislative provision of reading academies is found in Section 723, Title VII, P.L. 93-380. Several major findings of the study are now encompassed in program guidelines.

- A Study of the Title I Migrant Education Program completed in 1974 emphasized problems in the current fund-allocation formula and procedure, providing impetus to the conversion to data in the Migrant Student Record Transfer System as the basis for fund allocation. That conversion, recommended by the study and authorized by P.L. 93-380, was subsequently approved by OE.

- A reanalysis and synthesis of evaluation data for State programs under ESEA Title I during Fiscal Years 1965 through 1970 led to a number of recommendations regarding program policy, budgeting, and management. These recommendations were incorporated into a Policy Implications Memorandum which became an executive document upon signature by the Commissioner of Education in December 1972. Study recommendations were also a basis for subsequent development of the National Diffusion Program referred to earlier in this Section and in Section F of this Report.

F. Evaluation of Elementary and Secondary Education Programs

Most evaluation findings on elementary and secondary education programs can be placed in one of two categories: (1) those pertaining to the impact of programs aimed either at directly improving the quality of education for large numbers of children or indirectly improving education by demonstrating better practices for relatively small numbers of children and (2) those which address the issues of how to bring about changes in the schools and what constitutes good changes. Although this dichotomy provides a useful way to summarize the results in the paragraphs which follow, a given evaluation project may supply both kinds of information. In addition to conducting evaluations of educational programs, the Office of Education is required to upgrade State and local evaluations of the ESEA Title I program, and to use data from those studies to report to Congress. The steps in carrying out this mandate are also summarized below.

(1) The Impact of Federal Programs on Students

Addressing the special needs and problems of educationally disadvantaged children has been acknowledged as a Federal responsibility since the legislation of 1965 and a number of major Federal programs have the disadvantaged as their main concern. The principal program at the elementary and secondary level is Title I of the Elementary and Secondary Education Act (ESEA), a large service program intended to address the locally determined needs of the target population. Another program, Title VII of ESEA, is much more limited in scope, aimed as it is at the special education requirements of persons of limited English proficiency. Recent amendments to Title VII (P.L. 93-380) provide a three-fold rationale for the portion of the law administered by the Office of Education: as a demonstration program, as a training program for educators, and as financial support for the development of bilingual/bicultural materials. A third program, the Emergency School Aid Act (ESAA), addresses the needs of desegregating school districts. While not limited to educationally disadvantaged children, in practice the program does provide disproportionately greater services for that population than for non-disadvantaged children.

There seems little doubt that the most universal concern about the education of disadvantaged children, shared by educators and lay public alike, is that poor children, minority-group children and children of limited English proficiency do not acquire the basic skills in language arts and mathematics as well as the general population. This educational disadvantage naturally spreads to other aspects of school performance as the children face the mastery of more complex subjects, and later the life-coping skills needed by adults.

Before proceeding to results from Federal education programs, it should be noted that recent years have seen renewed concern that children from the general population are also performing at unacceptably low levels and in some cases getting worse. Scores on college entrance examination tests (SAT and ACT) showed yearly declines, although this decline has slowed somewhat in the past two years. New reports from the National Assessment of Educational Progress (NAEP) indicated declines in student's writing skills (except for 9-year olds) and knowledge of science.

A first time report on consumer math skills shows unexpectedly low performance in that area. The results of two studies of functional literacy (NAEP and the University of Texas) indicated unacceptable levels of illiteracy for an advanced nation. There have been, however, two somewhat positive notes from NAEP. The first is that the functional reading skills of 17 year olds, while low, were better in 1974 than in 1971. Moreover, it was the children of parents with little or no high school education who showed the greatest improvement. Second, a NAEP report released in 1976 indicated reading improvements for 9-year olds between 1971 and 1975. Black 9-year-olds gained more dramatically than did the population as a whole. The reading ability of 13 and 17-year olds changed little during the same time period. Finally, an Office of Education sponsored study which drew upon standardized reading test results over the past 50 years indicated that students of today out-perform their counterparts of 20 years ago or earlier. The analysis revealed a trend of gradual improvement in reading skills from 1925 to 1965 but then a leveling off or possibly a slight decline in the past ten years.

The foregoing findings and others help to put in perspective the results from evaluations of Federal programs for disadvantaged children. The overall picture for the general population is one of declining test scores for about the last 10 years for grades five and above. The declines have been more pronounced at the higher grades. It should be noted, however, that there are indications of some improvement in the last several years. Although the evidence on test scores in the early grades is less comprehensive, there are indications that there has not been a similar decline at the primary level. In recent years there is even some evidence of improvement in reading by the categories of children who tend to be among the disadvantaged population.

Title I presently serves nearly 6 million children at a cost of about 2.7 billion dollars per year. It is by far the largest single federal program focused on the needs of disadvantaged children. It is broad with respect to the kinds of activities which can be supported and resource allocation decisions are largely left to local discretion subject to State approval.

There is, nevertheless, considerable concentration on instructional services, especially on reading in the elementary schools. Recent studies indicate that participants in Title I reading projects tended not to fall farther behind their less needy, unassisted peers in their reading skill performance during the school year. This result, while positive, does require some further explanation. The strongest data come from a national study of compensatory reading in grades 2, 4, and 6 but there is also other corroborating data (see Title I section of this report). The national study showed that not only was the Title I money accurately targeted on the children with the greatest educational needs but that in terms of reading test scores, the gap between students participating in compensatory reading projects and their more advantaged peers narrowed between pre-tests offered in the fall and post-tests given in the spring. The gap narrowed in the sense that the number of correct answers by disadvantaged students was closer to the number correct by advantaged students in the spring than in the fall.

The study also shows, however, that the percentile rank for the typical student who received compensatory assistance was 22 for each of grades 2, 4, and 6. The percentile rank for the typical student in the study who did not receive compensatory assistance was 46, 48, and 53 for these grades. These results suggest that despite some overall gains from compensatory reading projects during the school year, the target group children are still far below average all through elementary school.

The picture then is one in which Title I projects, when addressed to reading problems, seem to be effective during a given school year but in which the target population, for a variety of reasons, remains severely disadvantaged in terms of reading skills. What might seem to be a paradox has several possible explanations including student losses of skills during the summer and students leaving or being dropped from projects after one year of participation. Further policy guidance must await results from on-going evaluations designed to identify the factors which contribute to the acquisition and retention of basic skills by educationally disadvantaged children.

Children who enter school with limited English proficiency face particular problems which Title VII of ESEA is intended to address. The program is also designed to help remove some of the current obstacles to bilingual/bicultural education, such as shortages of properly qualified teachers and acceptable instructional materials. Although some notion of the extent of teacher and material shortages can be acquired from the first report on the Condition of Bilingual Education in the Nation,* several on-going studies and surveys will provide more precise estimates of the shortages and of program effectiveness in overcoming them.

A recently completed study revealed that the language group where most bilingual materials have been developed is Spanish, yet users of these materials often expressed dissatisfaction with the language level and cultural appropriateness of materials. Almost all school districts with bilingual education programs reported that shortages of materials in all languages were still a problem. The diversity of programs, curricula, and teaching styles made prospects for filling the demand for most languages impractical commercially and difficult and expensive for the government. The Title VII Centers are approaching the status of full-fledged publishers and distributors of bilingual materials but, at the time data was collected for the study (1976-77), restructuring of objectives and procedures were felt necessary.

With respect to the direct effects of bilingual/bicultural education on children, recent evaluation results from Title VII Spanish/English bilingual projects found that participating Hispanic students performed better in mathematics computation than would have been expected had they not been in a bilingual program. This suggests that such projects are, on the average, effective in one of their goals which is to insure that children do not fall behind in various subjects while they are acquiring English. However, tests of English language skills suggested that Hispanic children in Title VII projects did not acquire English as readily as they might have in regular classrooms. Another notable finding from the study is that, for grades 2 through 6, less than one-third of the Title VII participating students could be classified by teachers as having limited-English-speaking ability. While the legislation certainly permits the enrollment of English-dominant children, so high a proportion of them raised questions about the appropriateness of the procedures for selecting participants. The Education Amendments of 1978 limit the number of English monolingual students in a Title VII-funded bilingual education project to 40 percent.

---

* U.S. Office of Education. The Condition of Bilingual Education in the Nation: First Report by the U.S. Commissioner of Education to the President and the Congress. HEW Publication No. (OE) 77-01704, November 1976.

School districts that desegregate their schools are eligible for Federal assistance under the Emergency School Aid Act (ESAA). The purpose of ESAA is to provide financial assistance related to the implementation of a public school desegregation plan and to assist schools which remain racially isolated after a desegregation plan has been implemented.

Three recent studies have criticized the targeting of ESAA funds, pointing out that many school districts funded had desegregation efforts which were completed years ago. In Fiscal Year 1977, 70 percent of ESAA Basic Grants--the largest component program of ESAA--were to districts that implemented a desegregation plan prior to 1973. Activities have been supported which are not directly related to the implementation of a desegregation plan despite the efforts of the Office of Education, in part because local proposal writers are able to present programs for compensatory education in the guise of desegregation-related needs.

There has been little new desegregation since ESAA was enacted in 1972. ESAA funds do not generally provide an incentive for districts to initiate desegregation, but largely provide compensatory education services similar to those provided by Title I of the Elementary and Secondary Education Act. One technique for desegregating schools--magnet schools--is supported as a separate ESAA sub-program. Magnet schools are designed to offer a special curriculum which is capable of attracting substantial numbers of students of different racial backgrounds. An OE-sponsored study found that such schools appear to have some success in desegregating parts of school districts, but other remedies in addition to magnet schools seem necessary to accomplish comprehensive district-wide desegregation.

Another aspect of eliminating the effects of discrimination is leadership by school principals and teachers to promote a climate of equality within desegregated schools. Several OE-sponsored evaluations have documented the importance of both non-discriminatory practices (e.g., teachers not pointedly ignoring or criticizing minority students) and affirmative human relations programs (e.g., the use of multi-racial curriculum materials and school displays). Such actions have both a moral and a legal basis, as well as a consistent ESAA evaluation history of improving the quality of race relations or academic achievement within desegregated schools. ESAA does fund some human relations programs and there is evidence that ESAA funds serve as an incentive for school districts to come into compliance with special ESAA non-discrimination requirements.

A recent evaluation found that community organizations can perform such activities as developing community support for a desegregation plan or improving school-community relations more effectively than school districts. Groups funded under the ESAA Nonprofit Organizations program tend to be less effective than other organizations in the same communities. In part, this is due to the tendency of ESAA Nonprofit Organizations to undertake "safer" remedial and tutorial programs, even in districts in the initial stages of desegregation. Fortunately, the problems are subject to Federal intervention and do not represent fundamental weaknesses of community organizations themselves.

A related program is Title IV of the Civil Rights Act of 1964, which is primarily a program of technical assistance and training services provided by universities and State education agencies to school districts. Recent changes in the Title IV program based on an OE-sponsored evaluation study direct Title IV-funded Desegregation Assistance Centers to give first priority to providing assistance in preparing and adopting race desegregation plans. Several other changes are also designed to increase the identity of Title IV as a desegregation assistance program. In the area of sex discrimination, a follow-up study was conducted of the Title IV program after sex discrimination technical-assistance services were added to the program. There was concern that one type of service (either race desegregation or sex discrmination) might overwhelm the other. The follow-up study suggests that these concerns are unfounded.

Overall the federal programs for the education of disadvantaged children show mixed results--they are variable depending upon the grade level, the subject matter, the type of students, the school setting and other factors.

However, each of the three programs reviewed here has shown some positive results along with neutral and occasionally negative results. Although there is a risk of later being proven wrong, the evidence seems to suggest the beginning of a trend towards more positive outcomes for Federal programs. Knowledge of the controllable factors which are associated with success or failure may provide a basis for accelerating the emergent trend. The possibilities are explored in the next section.

(2) Changing Education: How Does It Happen? - What are the Results?

Several Federal education programs and many local projects attempt, in one degree or another, to change and, hopefully, improve educational practices. Several recent OE studies shed considerable light on the process whereby schools change and what happens when they do.

Results from a recently completed study of Federal change agent programs* provide a rich array of possibilities for improving the process of educational change and indicate that some of the conventional wisdom about how school districts behave when trying to solve problems may be wrong. For example, a broad search for alternative solutions which have been tried in other school districts was seldom undertaken and in particular, there was usually not a strong reliance on objective evidence about the effectiveness of a given solution. Instead, local district personnel tended to use educational practices already known to them. There is frequently a feeling that local conditions are unusual and may rule out successful repetition of an approach that has worked elsewhere.**

---

* ESEA Title III, Innovative Projects; ESEA Title VII, Bilingual Projects; Vocational Education Part D, Exemplary Projects; and the Right-to-Read Program.

** Empirical evidence which contradicts this perception is discussed later.

The absence of a systematic search for alternative solutions to educational problems is somewhat ameliorated by another one of the study's findings. Project success was less determined by the educational method involved than by how well it was carried out. That is, project design considerations, project implementation strategies and institutional factors were so important that similar methods produced dissimilar results across sites. Two project factors were especially associated with success: first, projects which make greater demands on teachers for change result in more change and, second, projects with specific and clear goals were more successful than those with broad and amorphous objectives. Implementation strategies important to success included well-conducted training in project methods and materials, staff-support activities,* and teacher participation in project decisions. Institutional factors which contributed to success included the presence of a good project director, a supportive school principal, teachers' sense of efficacy (i.e., a belief that the teacher can help even the most difficult or unmotivated students) and teachers' verbal ability.

The findings from the study of Federal change agent programs are generally echoed and extended by other recent evaluations. Moreover, with respect to the studies reviewed, there seem to be relatively few of the inter-study inconsistencies that commonly bedevil educational research.

---

* These activities, such as assistance in the classroom, use of outside consultants, observation of other classrooms and staff meetings, seem to provide feedback and assistance necessary to adapting educational methods to particular classrooms.

The overall conclusions with respect to the four programs studied can be summarized as follows: Federal policies had a major effect in stimulating LEAs to undertake projects but initiation of innovative projects did not insure successful implementation nor long-run continuation. The net return to the Federal investment was the initiation of many innovations, the successful implementation of few and the long-run continuation of still fewer.

Do children learn more when large scale innovations are introduced into the school? Results from a study called Project LONGSTEP* provide some answers. Eighty schools in 13 school districts across the Nation were involved in a multi-year study of intensive educational innovations--that is, programs encompassing a significant proportion of students, entailing a major alteration of school procedures, and involving a high investment of resources. Educational innovations included team teaching, multimedia emphasis, unique school design, use of paraprofessionals, variations in scheduling, and teacher-developed materials as well as independent study, student selection of materials, and a number of other practices typically associated with individualized instruction. Student performance in reading, language and arithmetic was measured over a three-year period.

Taken as a whole, students exposed to intensive, innovative educational programs did not do conspicuously better than what is expected of students in ordinary programs. However, the various educational approaches did produce differential effects in achievement (especially in the early elementary grades) and unquestionably dramatic performances were found in some schools.

---

* Gary J. Coles, et. al., "Impact of Educational Innovation on Student Performance," American Institute of Research, Palo Alto, California, 1976.

Probably the most interesting findings from the study pertained to indices which measured the Level of Innovation and the Degree of Individualization. Students enrolled in programs with a more moderate emphasis on innovation and individualization showed the greatest improvement. This certainly should not be viewed as a sweeping criticism but simply that innovation and individualization per se will not necessarily produce positive effects on achievement. Again, it may be that what is done is less important than how well it is carried out.

The Follow Through Program is a major Federal effort to identify effective approaches to the education of disadvantaged children in grades K-3. Twenty two different approaches, or models, have been tried out in sites across the country (most models in multiple sites) and have been subjected to intensive evaluation. The models employ a wide range of strategies including several forms of parental involvement, open education, behavior modification and individualized instruction.

The effectiveness of the models has been examined in terms of basic skills, higher order conceptual skills and affective outcomes (self-esteem the sense of control over one's successes and failures). The most striking conclusion from the evaluation is that the instructional models themselves were not major determinants of educational outcomes. Although the models do differ somewhat in effectiveness, there was usually large variation among the various sites using a particular model. Given the substantial amount of money used for the education of most Follow Through children (approximately $800 per child per year more than the average per pupil expenditure), these results most be regarded as disappointing.

One model was notably more successful than the others when contrasted to the performance of comparison children while for several models the performance of the comparison children was superior. However, several models had both positive and negative effects in various sites. Moreover, the vast majority of comparisons between Follow Through and non-Follow Through children showed no significant differences.

The findings from Follow Through and Project LONGSTEP seem consistent and suggest the following conclusion--it is possible for schools to introduce new approaches that will benefit students but most innovations being tried will either be neutral or negative in the sense of direct benefits for children. What could account for the infrequent occurrence of positive outcomes? It may be that our understanding of the human learning process is so meager that even intensive efforts by leading educational innovators will yield improved practices only a small percent of the time. However, it can be argued, with supportive evidence, that some of the innovations have not really had a fair trial. One of the reasons cited is that conditions in the schools prevent implementation of the innovations as conceived. That is, the character of an educational innovation become inextricably bound up with the process of change in the schools--some things are easier to implement than others and when schools run into trouble they frequently change the nature of the innovation.* A third possibility is that many innovations are working but our evaluation instruments and methodologies are not able to detect the positive effects of a substantial proportion of the approaches.

---

* See the report on Federal change agent programs for findings on this point.

Another completed study, Conditions and Processes of Effective School Desegregation, examined innovations directed toward improving race relations in desegregated schools. The results show the effectiveness of innovations in instructional practices designed to promote good race relations. These practices include the choice of instructional material (text material with multiracial content) and the teaching of minority group history and culture. The practices also include deliberate efforts to involve black and white students interactively (working and playing together in organized activities) and open discussions of racial issues in the classroom.

High schools with good race relations tended to have principals who were evaluated highly by teachers. These principals were described as supportive of both black and white teachers and as persons of major influence in the school and the community. The impression of interviewers who visited the schools was that the principals of the more successfully desegregated schools had clearly established good race relations as an explicit goal of the school. The innovations to improve race relations were generally introduced with the support of the principal and in some cases with the principal as a direct participant in the innovation. Detailed discussion and examples of specific innovations for race relations and ways of implementing them are provided in a nontechnical publication, A Handbook for Integrated Schooling.

As the foregoing discussion indicates, much effort has been expended in two streams of activity: trying to identify effective educational practices* and trying to understand the process of educational change, especially how that process can be affected by the Federal government. The next logical step is to try to combine the two converging streams. Presently this is being done in a small USOE program called Packaging and Dissemination.

In an effort to disseminate and promote the adoption of exemplary educational practices, the USOE has established a National Diffusion Network (NDN) and has prepared packaged materials (Project Information Packages or PIPs) as a means for communicating the information necessary for replication of projects. The NDN is composed of LEA grantees which demonstrate and help disseminate information about successful projects which have been reviewed and approved by the Education Division's Joint Dissemination Review Panel. Project Information Packages have been developed for a select few of all Panel approved projects as very detailed how-to materials for schools to use in starting and operating projects. The PIPs are disseminated via the NDN as well as other means.

Evaluations have recently been completed on both the NDN and PIPs. Well over 1,000 exemplary projects have been adopted in new communities through the NDN and PIP strategies. Both studies found that projects were replicated with considerable fidelity to the originals but almost always with some local adaptations. School officials reported high satisfaction with both Project Information Packages and NDN services.

---

* Studies which seek effective educational practices include many more than those mentioned in this section. Indeed most of the evaluations conducted in elementary and secondary education include such an objective.

With respect to learning outcomes in the new projects the picture is less complete. PIPs were field tested in 19 school districts and while participating students usually equalled or surpassed growth in reading and math expected of disadvantaged children, the gains were not dramatic. The impact of NDN (non-PIP) replications on student's performance has not been assessed.

In summary, the past decade has seen considerable effort by the Federal government to foster change and to improve the quality of education, especially but not exclusively, for disadvantaged children. Early hopes that large-scale intervention programs such as ESEA Title I would quickly overcome the disparities in educational outcomes arising from economic and social disadvantage proved overly optimistic. In retrospect, it seems likely that many of the designers and implementers of special programs for the disadvantaged, however well-intentioned, often were not able to produce effective programs. To some extent, educational evaluations have been able to sort out the good from the bad, but evaluators too have suffered from an inadequately developed technology. Evaluation designs, measuring instruments and analysis techniques have too frequently led to ambiguous or occasionally invalid findings. Improved technology and better trained evaluators are gradually improving the quality of educational evaluation. This is very important, because if it is true that most educational innovations are not improvements, conducting good evaluations is probably the prime way of avoiding expenditure of extra money on approaches which have no beneficial effect.

(3) Overview of the Implementation of ESEA, Title I, Section 183

There have always been requirements in ESEA Title I legislation for the annual evaluation of project services at both local and State levels, and reports have been prepared for State and Federal use. However, the evaluations and resulting reports were not standardized enough to yield comparable data, which led Congress to mandate a new Section 183 (then called 151) to Title I in 1974.

That Section requires the conduct of national studies, the development of evaluation models for State and local use, the provision of technical assistance to facilitate that use, and dissemination of information to Congress (in the form of biennial reports) and to educators (in the form of reports and other materials about effective practices). USOE has supported the development and use of evaluation models, and has begun efforts to require their use. The first report to Congress, based on voluntary use of the models in 1978-79 is due to Congress on February 1, 1980.

Technical assistance efforts fall into three categories: user-oriented documents as reference works on the models, training workshops for State administrators, and free consultant services from Technical Assistance Centers. The last of the three is the most active, direct form of assistance now underway.

Ten Centers were established under contract in September of 1976 to provide consulting services to States implementing the Title I evaluation and reporting system. Center personnel are available to assist States in presenting workshops, devising evaluation strategies appropriate for local situations, providing advice in the statistical and measurement areas, interpreting the data obtained in evaluation studies, modifying computer programs to help States process data, or providing other services that may be helpful to a State's Title I evaluation activities. Their work has been continually evaluated by USOE staff and, in 1978, by an outside panel of experts. The panel found the operation to be effective, in general, and suggested a few small changes in policy. The second procurement (the original contracts were for three years) reflects the panel's recommendations.

The secondary strategy for generating evaluation data about Title I--the conduct of national studies--has led to three major evaluations of the program: (1) the Sustaining Effects Study, a longitudinal analysis of students' receipt of services and the effects of those services; (2) the Study of Title I for Migrant Students, a documentation of their need, participation and benefits; and (3) the evaluation of Title I for the neglected or delinquent in State institutions, a descriptive and impact analysis of this part of Title I. Data from each are presented in the Chapters on each of these Title I programs.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Education of Disadvantaged Children

Legislation:

Title I of the Elementary and Secondary Education Act of 1965, as amended. Parts A, C, D, E, and F.

Expiration Date

September 30, 1983 1/

Funding History:

Year	Authorization 2/	Appropriation
1966	$ 1,192,981,206	$ 959,000,000
1967	1,430,763,947	1,053,410,000
1968	1,902,136,223	1,191,000,000
1969	2,184,436,274	1,123,127,000
1970	2,523,127,905	1,339,050,900
1971	3,457,407,924	1,500,000,000
1972	4,138,377,672	1,597,500,000
1973	4,927,272,941	1,810,000,000
1974	4,182,509,627	1,719,500,000
1975 3/	7,954,872,444	3,776,000,000
1976	4,692,511,963	2,050,000,000
1977	4,660,666,596	2,285,000,000
1978	5,075,334,514	2,735,000,000
1979	5,683,777,500	3,228,382,000
1980	5,919,894,131	3,330,593,000 4/

Programs Goals and Objectives:

Section 101 of P.L. 89-10, as amended, states:

> In recognition of the specific educational needs of children of low-income families and the impact that concentrations of low-income families have on the ability of local educational agencies to support adequate educational programs, the Congress hereby declares it to be the policy of the United States to

---

1/ Extended through September 30, 1983, by the Education Amendments of 1978 (P.L. 95-561). The program goals and operations section reflect the changes introduced by this new legislation even though, because the the law was not signed until November 1978, many of the changes will not go into effect until the 1979-80 school year.

2/ The total authorization and appropriation levels are reflected in these columns (not just those for Parts A, C, D, E, and F). In the subsequent Migrant, N or D, and Handicapped sections only their respective totals are reported.

3/ Commencing in 1976 the program is advanced funded from prior year appropriation. This results in a doubling up of funding in 1975.

4/ House and Senate Conference level, no appropriation as of 8/17.

provide financial assistance (as set forth in this part) to local educational agencies serving areas with concentrations of children from low-income families to expand and improve their educational programs by various means (including pre-school programs) which contribute particularly to meeting the special educational needs of educationally deprived children.

In discussions associated with the preparation of the Education Amendments of 1974 (P.L. 93-380) the Report of the House Committee on Education and Labor stated "that local educational agencies should give priority attention in operating Title I programs to the basic cognitive skills in reading and mathematics and to related support activities to eliminate physical, emotional or social problems that impede the ability to acquire such skills".1/ The Education Amendments of 1978 (P.L. 95-561) reinforce this emphasis on basic skills by requiring local school districts to include objective measurements of educational achievement in basic skills over a sufficient time span to assess whether or not gains are sustained and to give emphasis in developing their project to components that will sustain student achievement gains beyond the school year in which the program is conducted. In addition, the provision of non-instructional support services was deemphasized (viz. made contingent on not being available from any other source and requiring State approval for such use).2/

Program Operations

- The Funds Allocation Process 3/

Congress appropriates funds annually to be disbursed by USOE to State and local educational agencies (SEAs and LEAs). Such disbursements are to be made primarily on the basis of the number of low-income children residing in an LEA. Since income information is seldom available for an LEA, allocations are made to the county level. The formula uses two different kinds of information to compute the amount of funds to which a county is entitled: (1) poverty; plus, (2) a State's educational expenditure or effort. The poverty factors are:

1/ See pp. 20-21 of House Report No. 93-805. Both House and Senate discussions (see Senate Report No. 93-763, pp. 30-31) relative to the special needs of disadvantaged children recognized the importance of basic skills but concluded that State and local educational agencies should be primarily responsible for determining the means to be used to meet the needs of disadvantaged children rather than that such determination be made by Federal authorities.

2/ Sec. 124 (f) and (k) of P.L. 89-10, as amended by P.L. 95-561.

3/ Allocations for the Migrant, Neglected or Delinquent, and Handicapped portions of Title I are handled in a somewhat different manner. See their respective sections.

P = the number of children, aged 5 to 17, from poor families defined by the Census (Orshansky Index).1/

AFDC = children from families receiving AFDC payments whose income levels are above the poverty line (included so as to not penalize States which raise families above the poverty line with AFDC payments).

NDF = the number of children in institutions for the neglected or delinquent, or in publicly-supported foster homes.

A State's average per-pupil expenditure (SAPPE) is used to indicate its level of effort. Forty percent of this amount is entered into the formula.2/ A county's authorization (A) is then computed as:3/

$A = (P + AFDC + NDF) X .4SAPPE$

Because Title I appropriations are less than the sum of all county authorizations, each county is allocated a prorated share of its authorization (this is called ratable reduction and would not be necessary if the program was funded at its authorized level).

One of the functions a State performs is to determine how allocations will be made from the county to the LEA when its boundaries are not coterminous. Such allocations (called subcounty allocations) are to be made on the basis of data which also reflect the distribution of children from low-income families.

1/ This index is based on the cost of a minimally adequate diet and on the proportion of income that a low-income family spends on food relative to non-food items. It provides different estimates for age and sex of the head of the family, the number of children and adults, and according to whether or not the family lives on a farm and can be expected to produce some of its own food. Allowances are not made for the cost of living in different areas.

2/ For purposes of this formula, a State's per-pupil expenditure is never calculated at less than 80% of the National APPE or more than 120% of NAPPE.

3/ In years subsequent to FY '79, one half of all appropriation increases above the '79 level will be allocated using as a definition of poverty, below 50% of the national median income for a family of four. Allocation of these additional funds will be based on information from the Survey of Income and Education (SIE). However, if the SIE information shows that a State has more than a 25% decline in its number of poor children, then its grant must be determined on some basis other SIE information. Finally, no matter how its allocation is determined, each State must use its current formula for distributing funds to its school districts.

In the Education Amendments of 1978 Congress enacted two new forms of grants which, if funded, may add substantially to the numbers of children who receive compensatory services. The first, called Incentive Grants, allows one Federal dollar for every two dollars of its own money that a State spends on compensatory education. In order to qualify for these funds a State does not have to alter the way it carries out its compensatory program but it must use each Federal dollar it receives under this grant in the same manner as its other Title I funds. The second, called Concentration Grants, provides extra funds to counties that have 5000 or more children from poverty families or have such children constituting at least 20 percent of their total school-aged children. When school district and county boundaries are not coterminous, the State decides on the basis of income information how these funds will be distributed among the school districts involved. Each school district uses such funds in the same manner as its other Title I funds.

Once an LEA receives its Title I allocation it must rank its schools based on the estimated concentration of children, aged 5 to 17, from poverty families in each school's attendance area (i.e., both public and private school students as well as dropouts are included in the count).1/ In making this determination any or all of a number of poverty related measures can be used (e.g., Census count, AFDC, free lunch, housing, health, etc) if approved by the State. Schools that rank above the districtwide average on the poverty measure are deemed "Title I eligible schools".

An assessment must be made of the special educational needs of children residing in the attendance areas of these eligible schools (called a needs assessment) and an LEA may provide services to all such areas or may focus on those with the highest concentrations of poor children. The guiding rationale is that the services provided must be of sufficient size, scope, and quality to give reasonable promise of substantial progress toward meeting the needs of such children (called "the concentration principle").

Once these "project areas" have been identified, services that supplement the regular school program are to be provided to the most needy students, where need is defined in terms of low achievement (i.e., instructional services alone — or when combined with support services --

---

1/ There are four possible variations from these rankings procedures. They are called: no-wide variance; 25 percent rule; (changed from 30 percent by P.L. 95-561); previously eligible attendance areas; eligibility by actual enrollment; and lower ranked schools having a greater incidence of educational deprivation (added by P.L. 95-561).

can be provided only to their lowest achieving students).1/ A number of requirements have been developed to ensure that Title I funds are used in a supplementary manner.2/ In addition, the general rule is that each district and each school that receives funds is required to have a Parent Advisory Council (PAC) of which a majority of members must be parents of project children. Also, each district is required to serve needy private school students who reside in the "project area."

- Administration

A clear delineation of responsibility for the administration of Title I exists between USOE and the SEAs and, in turn, between the SEAs and their respective LEAs. The nature of these responsibilities is discussed in the following paragraphs.

.. Federal Reponsibilities

In addition to its funds disbursement responsibilities USOE: (1) develops and disseminates regulations, guidelines, and other materials related to the administration of Title I; (2) provides technical assistance to the SEAs and periodically monitors their practices; (3) compiles fiscal, program scope and evaluation data; (4) evaluates the results and effectiveness of the program; and (5) reports annually to the Congress on the accomplishments of the program.

.. State Responsibilities

SEAs must provide assurances to USOE that their programs will be administered in accordance with the law and the regulations and are required by law to submit financial and performance reports (annually) and evaluation reports (biennially) to USOE. In addition to their disbursement and reporting responsibilities, SEAs: (1) review and approve or disapprove the project proposed by each LEA in its application to the SEAs; (2) provide technical assistance to the LEAs; and (3) periodically monitor their practices.

1/ Exceptions to serving the most needy students are: continuation of of services to educationally deprived children no longer in greatest need; continuation of services to educationally deprived children transferred to ineligible areas in the same school year; skipping children in greatest need who are receiving services of the same nature and scope from non-Federal sources; and a school with 75% or more of it students from low-income families may have a project for all of its students (called a schoolwide project).

2/ These are: restrictions against the use of Title I funds for general aid; maintenance of effort; comparability; supplement not supplant; excess costs; and equitably provided services to individual students.

.. Local Responsibilities

As noted earlier, LEAs are required: (1) to identify areas and children to be served and to design projects that apply available resources to meet identified needs; and (2) to maintain parent involvement and serve private school students. In addition, LEAs are required to submit to their SEA: (1) an application form describing the nature of their proposed project, how it was developed and the number of students to be served (triennially); (2) a fiscal report on the funds expended and students served (annually); and, (3) an evaluation report indicating how participants benefitted from these services.

Program Scope

About 9 million children are classified as being from low income backgrounds for purposes of Title I allocation. The forumla provides, in general, that each school district should receive for each child counted in the formula, 40% of the average expense of educating a child in that district's State. (To equalize economic differences between States levels of not less than 80% or more that 120% of the National average are set.) Because Title I is not fully funded, in 1977 districts received only 16% of the average State expenditure, rather than the 40% designated by the statute (NIE, Funds Allocation, 1977).

Title I funds represent about 3 to 4% of the total national expenditure for public elementary and secondary education. Currently all 50 States, the District of Columbia, all outlying territories (e.g., American Samoa, Guam, Trust Territory of the Pacific, the Virgin Islands, Puerto Rico, and the Northern Marianas) and the Bureau of Indian Affairs receive Title I funds. About 94% of all public school districts in the U.S. receive Title I funds (OED, 1979; Wang et al., 1978). Sixty-seven percent of all public elementary schools receive Title I funds while another 15% receive other Federal, State or local compensatory funds (OPBE, 1977; Hoepfner, et al., 1977). Of those schools that qualify as Title I eligible by district ranking procedures, 95% provide Title I supported services (OED, 1979; Wang, et al., 1978). Roughly 5 to 6 million students or about 7 to 9% of all elementary and secondary students are provided services with Title I funds.1/ Hence, with respect to elementary and secondary education, support for compensatory services is nearly ubiquitous with Title I playing the major role in making it so far reaching.

1/ State Performance reports yield a number near 5 million while a recent NIE survey (NIE, 1976) produced a number near 6 million for all students in grades K-8 receiving compensatory services supported either by Title I or by State funds. Earlier NCES reports also yielded estimates near 6 million (CPIR, 1971-72).

Program Effectiveness and Progress

Evidence now available indicates that the receipt of Title I funds is almost universal at the school district level and exceptionally widespread at the elementary school level. A remarkably high percentage of elementary schools with high concentrations of poverty students receive Title I funds although many schools with low concentrations of such students do too. The funds are used for a wide variety of instructional and support services; however, the vast bulk of the funds and students are involved in basic skills instruction in the elementary grades. These instructional services can be regarded as moderately well-focused on individual children who can be judged needy, primarily in terms of their low achievement but also in terms of their low-income backgrounds. However, there are many students not now being served who can be judged needy and some who can be judged not needy but are being served. With respect to reading, the evidence suggests that in elementary schools, Title I has been well-targeted on children who read poorly and Title I is probably having a positive impact. Educationally disadvantaged children usually lose ground to their more advantaged peers as they progress through school. However, poor readers who receive extra attention because of Title I and similar programs tend to hold their relative positions between Fall and Spring and on some tests they gain ground. But, the extent to which such gains are sustained in subsequent years for the same students is not currently known but is being investigated. In general, then, the reading results illustrate modest success but with much work still to be done. Little useful information is currently available on student achievement in other areas. Many of the non-instructional services provided are desirable ends in themselves (e.g., having healthy, well-fed, well-clothed children) for which Title I should receive credit for providing assistance when these needs cannot be met from other sources. However, little is known about how children benefit from these latter services.

Although the main evaluative judgments about the effectiveness of Title I should be based directly upon the services provided to participating children, the impact of the program should also be considered in a larger sense. As the major Federal program aimed at improving the education of disadvantaged children, Title I has been instrumental in drawing the attention of educators and the public to the plight of these children. Although the problems of providing an adequate education of the disadvantaged have not yielded to solution as swiftly as had been hoped, that very fact has led to further efforts. States have initiated compensatory programs, school districts have tightened up their programs, parents have become more involved in their children's education, and researchers have pursued many new approaches to learning. There is a much greater national consciousness about the education of disadvantaged children than there was 15 years ago, and Title I is certainly a central feature of this awareness. These remarks are expanded upon in the sections that follow.

In the Education Amendments of 1974 Congress raised three main concerns about the adequacy of the Title I allocation procedures and requested specific studies to be conducted about these concerns. First, reliance on data from the Decennial Census for allocation purposes meant that it could be fourteen years out of date (recognizing that the income data collected is for the preceding year and allowing three years to get the census data properly organized for these purposes), and in such a period of time the income status of a county could change drastically. As a result, county and district allocations could be quite inequitable with respect to the real distribution of poor children. Second, the allocation procedures did not allow for the fact that it costs more to live in some areas of the Nation than in others (e.g., North-South, rural-urban, etc.). Finally, Congress discussed the possibility of changing the basis of allocations from poverty to low achievement and wondered what the implications of such a shift might be. Results from these studies as well as others pertaining to Title I were relied on to an unprecedented extent in the reauthorization hearings associated with the Education Amendments of 1978. These results as well as more recent information are discussed in the sections that follow.

.. How Effective are the Current Allocation Procedures

... In Reaching the Intended Counties, Districts, and Schools?

Results from a recently completed study of the funds allocation process (NIE, 1977) shows that: (1) as the number of formula-eligible children in a county increases, the average Title I allocation to the county rises consistently -- an indication that the formula accomplishes the intent of the legislation; and (2) district allocations reveal patterns similar to those observed at the county level. These patterns are not identical to those observed at the county level because the use of data in ways other than that emphasized by the Federal formula was shown to alter the county level allocation patterns (e.g., sole reliance on AFDC data as compared with the number of children from poverty plus two-thirds AFDC). As much as 16% of the Title I funds in some States would shift among districts if the Federal statutory formula were substituted for current State sub-county allocation procedures. However, even though sub-county allocation practices are near universal, involving 46 States, data directly comparable to that used in the Federal formula may not be obtainable at the sub-county level.1/ Title I funds supplement regular district expenditures to a greater extent than any other Federal or State financial assistance program (NIE, 1977). Two earlier studies also indicated that Title I allocation procedures provided additional funds to school districts with the greatest financial need (Berk and Kirst, 1972; Johns, et al., 1971).

1/ In the Education Amendments of 1978 (P.L. 95-561) Congress directed the Secretary of Commerce to collect Census data in such a mannner that it could be aggregated to the school district level. To the extent that this effort is successful, when the results of the 1980 Census become available they will obviate the need for sub-county allocations.

A recent survey of 219 public school districts showed that 94% of them received Title I funds (OED, 1979; Wang, et al., 1978). The non-participating districts had very low concentrations of students from poverty backgrounds. Virtually all of the recipient districts had been participating in Title I since its inception and 56% received compensatory funds from other sources in addition to Title I (OED, 1979).

In Title I districts two recent surveys have shown that they provide services in 90% to 95% of their Title I eligible schools (NIE, 1976; OED, 1979). Another recently completed survey of over 5,000 U.S. public elementary schools (viz., the survey was not limited to just Title I districts and schools) showed that two-thirds of them received Title I funds while another 15% received compensatory funds from other sources (OPBE, 1977; Hoepfner, et al., 1977). This survey also showed that: (1) 90% of the schools with over half their students from poverty families received Title I funds; (2) 79% of the schools with from one-fifth to one-half of their students from poverty families received such funds; and (3) 53% of the schools with one-fifth or fewer of their students from poverty families receive such funds. Such results indicate that in terms of the receipt of funds (the actual amounts received were not examined) Title I funds are targeted to a remarkable extent on schools with high concentrations of poverty students. On the other hand, it is not clear why so many schools with low concentrations of poverty students receive Title I funds. A number of explanations are possible. First, for those school districts that have poverty children fairly evenly spread across all their elementary schools, each school would receive Title I funds, under the no wide variance provision even though the percent of that school's students from poverty families was fairly small. If there are many such districts, they would have a substantial effect on these totals (only 37% of all Title I districts engage in the selection of target areas, Hearings, Part 16, 195-7). A second reason may be that out-of-date income information (i.e., census data collected almost six years earlier) was used to make the county-level allocations although the district may now have fewer areas with high concentrations of poverty students to be served than in earlier years. Third, there are a large number of districts with a single attendance area, whose schools will therefore qualify for Title I services regardless of the number/percent of children from poor families.

... In Reaching the Intended Students?

There is an assumption in the Title I legislation (see the first page of this report) that where high concentrations of poor children can be found there too can be found a high incidence of children with special educational needs. Results from a recent study have shown that children from low income backgrounds are much more likely to be low achievers than are children from more affluent backgrounds. Further, when low income children are concentrated in one locale the sheer fact of their concentration and their lower achievement on an individual basis gives rise to a high incidence of low achievement

(OPBE, 1978a; Breglio, et al., 1978).1/ Such evidence gives firm support for the assumption on which Title I is founded. However, this does not mean that low achievement is found only where there are concentrations of low income children for, as the study also showed, a moderate incidence of low achievement can be found where there are very small concentrations of low income children (OPBE, 1978b).

The individual children intended to be served by Title I are the most educationally needy children residing in those attendance areas selected for services (called "project areas"). This same study cited above showed that in schools receiving Title I funds services were moderately well focused on individual children who could be judged needy, primarily in terms of their low achievement but also in terms of their low-income backgrounds (OPBE, 1978a, 1978b). However, there were many students who could be judged needy that were not selected for services and some who could be judged less needy who were being served. It was suggested that the focusing of services on needy students could be improved by: (1) establishing and maintaining a uniform, current data base for allocations to the county and district level and for project area selection; (2) tightening up intradistrict allocation procedures to the extent possible; (3) expanding the program to serve greater numbers of needy students; and (4) tightening up intraschool student selection procedures to the extent possible.

.. How Would the Current Allocations Change

... With More Recent Data?

In the Education Amendments of 1974 Congress mandated a study to update the count of children, aged 5 to 17, from poverty backgrounds and to ascertain the implications of this more recent data on the amount of money allocated to each State. The results of this study (Miller, 1977) showed that between 1969 and 1975 the number of such children declined from 7.9 million to 7.1 million. However, because of an overall decline in the birth rate, their proportion relative to all children of that age group remained at 14.5 percent. Changes in the incidence of poverty among States did occur. In the southern States the incidence of poverty declined or remained the same (except Florida) while it increased in most of the large industrial States in the Northeast and Mid-West. As a consequence of using this more recent income information to make allocations, sixteen States would lose one-fifth or more of their current allocation while eight others would gain by amounts in that same range. With the advent of the mid-Decennial Census in 1985, allocations can be made with income information that will be at its worst only seven to eight years out of date rather than the current fourteen-year figure.

1/ These results are much the same for reading and for mathematics, considered separately (OED, 1979).

... With Allowance for Cost of Living?

In the Education Amendments of 1974 Congress also mandated a study to find ways of improving the accuracy and currency of the present measures of poverty used in the formula that allocates Title I funds. Alternatives to the current measure of poverty were considered. Some would have raised the count of families in poverty while others would have lowered it. However, the implementation problems associated with any change in the current definition would have been so great that no changes were recommended (DHEW, April 1976). For purposes of Title I allocations other factors in the formula (State's per pupil expenditure rates, size of AFDC populations, and "hold harmless" provisions) as well as the recency of the poverty data used also figured importantly in the allocation process and could mute any distributional changes introduced by an altered definition of poverty. Another study examined changes in the count of families in poverty introduced by taking into consideration their receipt of other kinds of income (e.g., social security, unemployment insurance, AFDC, food stamps, etc.). It showed that the numbers counted were reduced by about one-half to three-fourths depending upon the nature and number of "transfer payments" considered (Congressional Budget Office, 1977).

... With a Shift to Achievement Criteria?

Among the many studies mandated by Congress in 1974, two related specifically to the provision of funds and services based on achievement criteria. The first study examined alternative ways for distributing funds on the basis of educational disadvantagement while the second study described the effects of demonstration projects in 13 school districts some of which were allowed to use student achievement measures to identify schools and students to be served with Title I funds. The first study concluded that: (1) there was not currently an adequate source, or combination of sources, of achievement data to allocate Title I funds among the 50 States or within all States to their school districts; (2) a national testing program to provide such data could be designed and put into effect — one that would allow funds to be allocated to each school district in the county would cost a minimum of 53 million dollars over a three-year period; and (3) a change from poverty to achievement eligibility criteria would probably have a significant effect on Title I funding for many States but would not affect the relative amount of money received by each of the four Census regions (NIE, Using Achievement Test Scores to Allocate Title I Funds, 1977).

In the second study most of the demonstration districts changed from the use of poverty measures to the use of achievement measures to identify their Title I eligible schools. As a result of such changes the districts: (1) served substantially more schools and students; (2) served proportionately fewer poor and minority students even though the absolute numbers of such students served were greater because of the greater number served overall; (3) reduced the amount of compensatory services they provided to each child even though they retained the same teaching staff and size of their instructional groups; and (4) although the reduction in instructional time experienced by each compensatory student was small relative to the larger numbers of students served, this reduction was kept small by the use of other funds available to the districts. Such funds which would not likely be available to the district in the future -- as a result the reduction in the intensity of services provided compensatory students might even be greater in later years (NIE, Demonstration Studies, 1977).

.. Who are the Recipients of Title I Supported Services?

Title I services are concentrated most heavily in the early elementary grades. Of the public elementary students in grades 1-6, 15% are selected to receive services from Title I while another 10% are selected to receive compensatory services supported by other Federal, State and local sources of funds (OPBE, 1978). In those districts that receive Title I funds (viz., those that have both elementary and secondary grades), 20% of their students in kindergarten through the eighth grade receive instructional services supported by Title I (NIE, Compensatory Education Services, 1977). In contrast, less than 1% of the secondary school students in these districts receive Title I services. Only 43% of the Title I districts that contain private school students provide Title I services to them — as a result, only about 4% of the private school students receive Title I services (NIE, Compensatory Education Services, 1977).

Students who are selected for Title I services are predominantly low achievers. Eighty-four percent of such students are below the 50th percentile in their overall achievement status (OPBE, 1977). In reading and in math, Title I students have the lowest achievement status of any other category of student (viz. Compensatory students in non-Title I projects or non-compensatory students). In the Fall of 1976 they ranked at about the 25th percentile in reading and at about the 28th percentile in math. In contrast, students in non-Title I projects ranked about the 33rd percentile in each of these subjects areas. Finally, non-compensatory students ranked at about the 53rd percentile in each of these areas. Hence, Title I provides services to the lowest achieving students (OED, 1979).

About two-thirds of the students selected for Title I services are from poverty or near poverty backgrounds (viz., are below 200% of the current poverty index) (OPBE, 1977). (This does not mean that most poor or near poor students are selected for services; rather that of those selected for services, most are poor or near poor.) About 54% to 60% of the Title I recipients are white (NIE, 1976; OPBE, 1976); another 35% are black with the remainder being predominantly Spanish-surnamed (NIE, 1976). Proportionately more boys than girls and proportionately slightly more students from non-English speaking than from English speaking homes are selected for Title I services (Breglio, et al., 1978). Many of the students who were selected for Title I services during the 1976-77 school year also received such services during the prior school year, especially in the higher grades (OED, 1979).

.. Unmet and Overmet Needs

When compared to students who now receive compensatory assistance, many more students can be judged to be in need of such assistance. These needy students tend to be found in schools that now receive Title I funds (OED, 1979). Other results have shown that one-third of the students considered needy by district criteria were not served (NIE, Compensatory Education Services, 1977).

In spite of its serving the bulk of compensatory students, Title I has some of the lowest incidences of "less needy" students (those who are above average in their achievement and are judged by their teacher as not being in need of compensatory assistance) being served when compared with non-Title I compensatory programs. The "less needy" students who are served by Title I receive a lower amount of services than do the "more needy" students (those who are below average in their achievement and are judged by their teachers as being in need of compensatory assistance). The "more needy" and the "less needy" students who receive compensatory services are not found in the same schools nor even in the same school districts — as a consequence, improvement in the focusing of services on the "more needy" appears to be more soluble at the school district level (inter- and intra-district allocation practices) than at the intra-school level (OED, 1979).

.. What Services Do Title I Funds Provide?[1]

Information from a recent NIE supported National survey of 100 school districts indicated that the national average Title I per pupil expenditure was $347 for the 1975-76 school year (NIE, 1976) with poor districts spending less per participant than wealthier districts. [Such results are due to the proportionately greater numbers of their students that poor districts serve].

Seventy-six percent of the Title I per pupil dollar is used to provide instructional services with the poorer districts spending a smaller proportion on such services than the wealthier ones (NIE, 1976). One explanation for these latter results is that the wealthier districts already provide support services (e.g., medical, dental, counseling, etc.) whereas the poorer districts don't and must therefore resort to the use of Title I funds for such purposes.

Reading and language arts instruction is the area of activity most frequently supported in virtually all district Title I projects (95% of the districts). Other high incidence areas of support are mathematics instruction (45%) and preschool/kindergarten readiness activities (38%).

---

[1] In Section 437 of the General Education Provisions Act, as amended by Sec. 512 of P.L. 93-380, Congress directed USOE to collect from each State, annually, information on each federally funded, State-run program (of which Title I is one) pertaining to how the funds were used and aggregate data on the numbers of recipients. Some preliminary information has now become available (Uses of State Administered Federal Education Funds, DHEW/OPBE, 1978) and will become more complete and precise in subsequent annual reports.

In the area of support services a distinction can be made between those directly supportive of instruction and those that are more indirect in nature. In the former category one-fourth to one-half of the Title I districts used some of the funds for libraries and/or resource centers. For the latter category, the most frequently cited activities are: medical/dental (20%); psychiatric diagnostic (19%); transportation (15%); food (14%); speech and hearing therapy (14%); and social work (12%). Forty-one percent of the districts do not provide any support services. But among those that do provide such services slightly more than three-fourths of them provide these services in two or more areas.

.. In What Ways Do Title I Students Receive Their Services?

In grades one through six, about 5 1/2 hours per week are devoted to instruction. For the typical child about 7 hours per week are devoted to reading instruction with a higher total in the early grades and a lower one in the later grades. Another 5 hours per week are devoted to mathematics instruction with little variation at each of the grade levels. Compensatory students, especially those in Title I, receive slightly more instructional hours per year in those areas than does the typical student (OED, 1979).

Of the students selected for Title I, 47% receive services in both reading and math, another 44% receive services in reading only, while the remaining 9% receive services in math only (OED, 1979). Since these areas involve such substantial proportions of compensatory students some discussion will be devoted to them in the following paragraphs.

.. Remedial Reading

Remedial reading is more frequently offered in the elementary grades (1 through 6) and is seldom supported by Title I after grade 8 (fewer than 10% of the districts do so). About 85% of the students receive their instruction in a pullout program (viz., they leave their regular classroom). They tend to receive this instruction from some combination of their regular classroom teachers (53% of such students), a reading specialist (75%), and a teaching aide (almost 50%). To receive such instruction most students did not miss any other subjects (except regular reading) (43%) or missed only their study time (16%). The remainder missed reading and language arts instruction or a variety of other subjects (e.g., social studies, science, art, etc.) NIE, 1976). These results suggest that compensatory reading instruction tends to be given with a greater intensity during that portion of the day normally allotted to reading instruction rather than being offered in addition to the regular reading instruction time.

Remedial reading is typically offered in small groups of from seven to twelve students (NIE, 1976; OED, 1979) using specialized staff (OED, 1979) involving what would appear to be a high degree of individualization of instruction (NIE, 1976). Over all grades, Title I reading students receive 59% more in the standard dollar equivalent of resources than do non-compensatory students in their same schools and 68% more than students in schools that don't receive any compensatory funds (OED, 1979). These ratios increase from a low of about 31% at the first grade to a high of 116% at the sixth grade. To a pronounced extent then, Title I students receive additional resources in reading but these resources tend to involve more intensive instruction during that portion of the school day normally allotted to reading rather than extra time for reading.

... Compensatory Mathematics Instruction

Compensatory instruction in mathematics is also focused on the elementary grades with the greatest incidence occurring in grades four through six. Slightly less than two-thirds of the students receive their instruction in "pull out" programs from some combination of their regular classroom teacher (74% of such students), a compensatory math specialist (49%), a teaching aide (62%), and another student (23%). To receive this instruction most students did not miss any other subjects (except regular math) 54%), or missed only their study time (10%) or regular math instruction. The remainder missed a variety of other subjects (e.g., social studies, science, music, art, etc.) (NIE, 1976). Compensatory math instruction is most likely to occur in groups of fewer than fourteen students students in grades one through four and fewer than ten students in grades five through eight. Such instruction appears to be given in a highly individualized manner (NIE, 1976). In mathematics over all grades, mathematics over all grades, Title I students receive 65% more resources than do non-compensatory students in schools with no compensatory funds. These ratios vary from a low of 43% at the first grade to a high of 80% at the sixth grade (OED, 1979). Clearly, Title I students receive additional resources in mathematics to a pronounced extent. These results suggest that like remedial reading, compensatory math tends to be offered with greater intensity during the time ordinarily allotted to math instruction.

... Summer Programs

Although the students in 51% of all elementary schools have access to a summer program, such access is slightly less likely in schools that receive Title I funds than in schools that do not receive such funds (47% for Title I versus 60% for schools not receiving these funds; Hoepfner, et al., 1977). However, among schools that have summer programs, schools that receive Title I funds have a much greater incidence of compensatory programs than do the other schools.

... Auxiliary Services

Very little is known about the ways in which compensatory students receive auxiliary or non-instructional services. NIE found that such services represent a very small part of the Title I effort (Compensatory Education Services, 1977). Only 4% of Title I funds are spent on such services nationally and very few districts devote more than 10% of their budget to support such services. Parent involvement activities including parent advisory councils, account for the largest portion of this total, while expenditures for libraries, health services, counseling, transportation, etc., have decreased in recent years (NIE, Compensatory Education Services, 1977). At the individual student level non-instructional services are seldom provided as part of Title I but when they are, they primarily involve health and nutrition (OED, 1979).

... Services For Non-Public School Students

The provision of services to Title I eligible non-public school students tends to parallel the way they are provided to their public school counterparts (viz., supplementary instruction in basic skills in the elementary grades, during normal school hours in the student's own school, with a low incidence of non-instructional services) save for a greater reliance on test results alone in selecting non-public as compared to public school students for services (OED, 1979).

However, other evidence as reported by NIE indicates that the incidence of Title I districts providing such services is low and as a consequence, only 4% of all non-public students receive Title I services (NIE, Compensatory Education Services, 1977).

In contrast to the above areas very little is known about the need for and provision of services to students in the higher grades.

.. How Do Students Benefit From Their Services?

As noted in previous sections, Title I funds are widespread and local projects encompass a number of objectives and provide services in a variety of areas. Such diversity indicates that the program does not lend itself to a single summative question, such as "Is Title I Working?" A more appropriate framework is: "How well is Title I working with regard to each of the many areas it supports?" Many areas do not readily lend themselves to an assessment of their benefits (e.g., counseling and speech therapy) while others are desirable ends in themselves (e.g., having healthy, well-fed and well-clothed children are desirable ends for which Title I must receive some credit for providing assistance when these needs are not met by other sources). The single area of greatest emphasis has been instruction in basic skills at the elementary level with a substantial portion of this effort devoted to reading. Given the current programmatic emphasis of 76% of the Title I dollars spent on instructional services (NIE, 1976) and up to 91% of the students participating in a reading or a language arts project that involves reading (OED, 1979; NIE, 1976), it seems fair to regard improvement in reading skills as one of the primary indicators of program effectiveness, especially in the elementary grades. Indeed, most of the evaluative evidence in the State and local evaluation reports is comprised of reading test scores.

There are two main sources of information on the effectiveness of reading projects: (1) national studies sponsored by USOE; and, (2) State and local evaluation reports. Evidence from each source will be discussed in the following paragraphs.

.. Evidence on Reading Improvement From National Studies

Early national evaluation of Title I depended upon the availability of performance information at the local level. Since local information was often unavailable or was not compatible with that from other locales, aggregations for purposes of national analyses could not be made. The absence of any positive information on the aggregate effort of the program was regarded by some as evidence that it was not working. However, results from a recently completed study of children in grades 2, 4, and 6 of a national sample of elementary schools in which common achievement measures were administered at common times in the Fall and Spring, showed that the Title I program was having a positive impact on student improvement in reading (OPBE, 1976). Specifically, the results showed that:

- In schools that offered compensatory assistance in reading the most educationally needy students, as indexed by their depressed reading test scores, were the ones who received such assistance.

- Students in compensatory projects received more services than non-participants, and the amount of such services depended upon the setting for reading instruction (individuals in small instructional groups received more services than those in large ones).

- Students who received compensatory assistance in reading tended not to fall behind their less needy, unassisted peers in their reading skill performance during the school year. For some of the achievement tests, compensatory students were closer to non-compensatory students in their reading test performance in the Spring than they had been in the preceding Fall.

.. Compensatory assisted students tended to develop favorable attitudes toward themselves as readers and toward their reading activities to a degree that was equal to or greater than that of their less needy, unassisted peers.

- - These results can be contrasted with those from earlier studies which showed that disadvantaged students fell progressively further behind in their reading performance and became increasingly more fatalistic about their ability to improve their life circumstances through education.
  - However, a clear relationship between the level of resources utilized and student improvement in reading was not discerned. Rather, given the existing range of resources, the ways in which they were utilized appeared more important than the sheer amount (e.g., the use of instructional aides for instructional activities rather than for clerical or custodial functions).
- Five compensatory projects were identified as unusually effective in terms of the reading improvement of their students during the school year and independently by the judgment of trained observers.
  - All had defined reading as an important instructional goal, had assigned it priority among the school's activities, and had manifested this commitment by expending more time on reading or on having a better quality of reading resources.
  - In all five there was a key person who provided guidance and direction in reading.
  - There was careful attention to basic skills (including reading).
  - There was evidence of interchange of ideas among staff members.
  - The average cost of the five unusually successful projects was about the same as that of the average of all the other projects. [These results can be contrasted with those from two other studies (the Emergency School Aid Act Evaluation, Coulson, et al., 1975 and the California Title I analyses, Tallmadge, 1973), which showed a modest positive relationship between supplementary expenditures and student improvement in basic skills.]

Another study by NIE examined the relative effects of: pullout and "mainstream" instruction; individualized instruction; and the importance of the content and intensity of instruction on the growth in reading and mathematics skills during a single school year of a select sample of first and third grades (NIE, Effects of Services on Student Development, 1977). On the average, the sample students made large positive gains which considerably exceeded those observed in other evaluation studies. First graders made their greatest gains when they received instruction in their regular classrooms. In contrast, third graders made their greatest gains in mathematics when they were in pullout settings separate from their regular classrooms. However, third graders' gains in reading were the same for pullout and regular classroom programs. Students in individualized instructional programs made substantial achievement gains but these gains were no higher than students in less individualized classrooms. Overall, when instruction emphasized the exact skills on which achievement gains were measured, student gains were especially large. Finally, the amount of time spent in instruction was particularly important for students in pullout programs (NIE, Effects of Services on Student Development, 1977).

.. Sustained Benefits

Very little is known about the extent to which benefits that accrue to a student by virtue of his compensatory assistance are sustained over the summer months and in subsequent years, especially after he/she no longer receives such assistance. (This is the topic of a current major evaluation study).

.. Summer Growth

Just how much growth occurs over the summer months remains in doubt. Some evidence shows considerable loss over the summer months for Title I students in selected sites who did not attend a summer program (Pelavin and David, 1977), while other evidence, some of a preliminary nature, suggested that, on the average, losses tend not to occur over the summer for compensatory students (SDC, Hoepfner, 1978; Hammond, P. and, J. Frechtling, 1979; Hemenway and Ozenne, 1977; the latter study was focused on ESAA students). Additional evidence from one study (Hoepfner, 1979) shows that all students tend to grow somewhat over the summer months in their reading skills but that this growth is much less than that which takes place during the regular school year. However, low achieving students tend to grow at a slower rate over the summer months than do regular achieving students and as a consequence, in the Fall, the two groups tend to be somewhat further apart than they were in the Spring. Low achieving students who receive summer school instruction in reading appear not to catch up with their more advantaged peers (Hoepfner, 1979). Still another study has shown that disadvantaged students who attended summer school did not exhibit a loss. However, summer attendance was voluntary; the most severely disadvantaged students did not attend; and student instructional cost was two and one-half times greater during the summer than during the regular school year (OPBE, 1976). Finally, local educators view summer programs as a way of providing intensive instruction which at least keeps students from falling further behind and enhances students positive attitudes towards school (David, 1979).

.. Evidence on Reading Improvement From State and Local Reports

Most annual State Title I evaluation reports continue to show a number of serious shortcomings which precludes their usefulness in making statements about the achievement benefits of project participants 1/ at the State level. For the small number of States for which data could be relied upon (about 17) student participants manifested growth equivalent to or greater than that of the average student (Thomas and Pelavin, 1976; Gamel, et al., 1975).

Searches for effective projects at the local level have shown faulty evaluation practices to be so widespread that no conclusions can be reached concerning the reading improvement of the participants of most projects 2/. However, the preponderance of compensatory projects that survived the rigorous screening procedures used in these search efforts were Title I funded (Bowers, et al., 1974; Tallmadge, 1974).

.. Ancillary Evidence on Reading Improvement

Recent evidence from the National Assessment of Educational Progress indicates that in 1975 nine-year-olds performed better on a set of reading tasks than did their counterparts of four years earlier (NAEP Newsletter, October, 1976). The greatest improvements during this period were made by minority students, by students whose parents did not have a high school education, and by students residing in the Southeast. However, children in these first two categories were still substantially below the national average. Noticeable gains were not made for the older age groups (13 and 17 year olds) although the seventeen year olds did show some improvement in handling basic literacy reading tasks (NAEP Newsletter, December 1976). For a comparable time period (1970-74) the nine year age group also showed improvement in their writing skills whereas the older age group (13 and 17 year olds) actually declined (NAEP Newsleter, December 1976). Since the bulk of Title I-supported activities are concentrated in the early elementary grades and involve reading and language arts, such improvements may reflect, in part, the effects of these activities.

1/ A recent GAO study was found to suffer from these shortcomings (GAO, 1975).

2/ This situation will be improved, however, as the use of standard evaluation models becomes more widespread. (See the Appendix for information about the Title I evaluation models and technical assistance efforts.)

No evidence is currently available on student improvement in other instructional (e.g., mathematics) or support areas or on how students benefit from their compensatory assistance in basic skills instruction over a period of years. However, such information will become available in succeeding years from a recently initiated study (see Hoepfner, et al., 1977 for more detailed aspects of this study).

.. Progress in Improving Program Administration

The administrative effort to ensure that Title I funds are used as Congress intends involves considerable sums of money and numbers of people and their time. The administrative effort is smallest at the Federal level, which spends less than $5 million a year and employs nearly 100 people in the U.S. Office of Education (USOE). States employ 1,000 persons in their Title I offices, and the 50 States receive $20 million in Federal funds in fiscal year 1976 to cover administrative costs. The 14,000 school districts receiving Title I funds spent approximately $120 million on administration in fiscal year 1976, quite apart from their expenditures for services to disadvantaged children (NIE, Administration of Compensatory Education, 1977).

Although good management practices may be a precondition of program accomplishment, those that are critical to success may be elusive. In the paragraphs that follow a brief overview is given of those practices that are deemed necessary for an understanding of how program improvements have been and can be induced.

.. How Does USOE Aid the States?

USOE engages in a number of activities intended to help the States improve their program management capabilities. One major activity is the State program review. A USOE team visits two or more local districts in a selected State to examine the ways in which they conduct the program and the kind of guidance the local has received from its State office. Any guidance materials the State may have developed for its locals are examined by the team prior to its visits. At the conclusion of its visits, the team has an exit interview with the Chief State School Officer to explain its recommendations. Later, a letter is sent to the State requesting a formal response to the recommendations.

Usually, a team is composed of four members who spend about a week in a State with each State being subject to such a review annually.1/ A variety of technical assistance activities are also utilized by USOE to upgrade State capabilities. The Program Support

---

1/ The DHEW Auditors also serve a compliance function through their periodic audits of State and local activities.

Package is used to explain to States in a simple and clear manner, using graphic illustrations, how a particular requirement should be handled (e.g., parent involvement). Each such package is then made available to a State for use with its locals. Handbooks are also developed and made available to States and locals; national and regional meetings or workshops are held on timely subjects of interest to the States; and on occasion special projects are sponsored that are of mutual benefit to the States and their locals (e.g., a self-analysis instrument for a State or local to use in reviewing its own management of Title I). In addition, USOE provides technical assistance to States and locals in evaluating their projects[1/] and provides a major role in dissemination of effective projects. Exemplary projects are nominated by their States and, after screening for compliance, are submitted to the Education Division's Joint Dissemination and Review Panel for an objective appraisal of the adequacy of their evidence. If approved by the Panel the projects are disseminated to other States and their locals, in turn, via publications (see "Programs That Work" in the List of References) and other publicity devices. Some are packaged in a detailed way so that they can be more readily duplicated by adopting sites (for more details of this latter effort see the section on Packaging and Dissemination).

Title I rules and regulations have been found to be legally and logically consistent (NIE, Administration of Compensatory Education, 1977). However, the lack of clarity in the language used often leads to misinterpretations. Further, OE has not used consistent standards in identifying violations of these rules and has not provided clear guidance to the States about their administrative responsibilities. As a result, States and districts are confused about the exact meaning of their obligations (NIE, Administration of Compensatory Education, 1977). USOE is trying to remedy these problems by developing a policy manual to aid in interpretations, expanding the Title I staff and increasing their monitoring activities, elevating the program in USOE so that it has to clear fewer administrative layers, and expediting audit resolutions.

Finally, in fulfilling its annual reporting requirements to the Congress, USOE attempts to utilize information from the State evaluation reports as well as conducting its own national evaluations. In any given year, for this latter activity USOE spends about two-tenths of one percent of the total Title I funds appropriated.

.. How Do the States Aid Their Locals?

In addition to their sub-county allocation responsibilities, States review local project applications for compliance with the law and regulations and monitor how the projects are carried out. Ideally, a district would be visited at least once per year by its State representative(s)

[1/] See the Appendix of this report for progress being made in upgrading State and local Title I evaluation capabilities under Section 183 of Title I, as amended by P.L.'s 95-561 and 93-380.

for monitoring purposes. Currently States are allotted one and one-half percent of their total allocation or $150,000, whichever is greater to perform administrative activities in their States.1/ For many States this amount is only adequate enough to support annual visits to their largest districts or those suspected of having problems, with the remainder being visited about every other year. In their monitoring role States also perform a dissemination function with regard to exemplary projects and practices.

The NIE study of State administration found that States varied widely in how they administered Title I (NIE, Administration of Compensatory Education, 1977). For example:

- On the average, States sent seven general information mailings to each of its Title I districts for fiscal year 1976.
    - However, some States had no mailings while others reported as many as 30.
- The average, number of conferences a State held to provide assistance to its districts was 22 (also for fiscal year 1976).
    - However, some States held no conferences while another reported 500 such conferences.
- States averaged approximately 125 individual visits to its Title I districts (also for fiscal year 1976).
    - However, one State reported none while another reported over 1000 such visits.

This enormous diversity was attributed to two factors: (1) a lack of clarity in the Federal legal framework about precisely what States are supposed to do; and (2) substantial variations among States in the staff they have available to administer the program and in the size of their workload (NIE, Adminstration of Compensatory Education, 1977). On the average, 18 staff members per State were involved in Title I administration with the range extending from a low of 3 to a high of 101 (about 61% were professional staff). The Federal formula for distributing administrative funds takes only the size of a State's Title I grants into account. However, the magnitude

---

1/ This includes the Neglected or Delinquent, Migrant, and Handicapped portions of the program as well. The Education Amendments of 1978 (P.L. 95-561) increased a States set-aside to one- and one-half percent of its allocation and gave more specific requirements about the use of such funds.

of this amount relative to the number of districts a State must oversee sets limits on the extent of State activity. For example, States with a few large districts can devote more funds to the administration of those districts than can a State with many small districts. The amount available to a State per district range from a low of $343 to a high of $13,060 with an average of $2,692.

State staffing assumes a degree of importance because, as the NIE study also showed, those States identified as having administrations of poor quality had lower staffing levels than would be expected given the size of their set-asides, the proportion of population that was urban, the number of Title I districts, and their organizational characteristics (Administration of Compensatory Education, 1977). Finally, a study of selected cases showed that: (1) the greater the efforts a State made to clarify, record, and disseminate regulations, the less likely its districts were to experience compliance problems; and (2) the degree of personal interaction and amount of time spent between State Title I officials and local district personnel appeared to be strongly related to the general quality of local district administration. However, an automatic increase in the State set-aside would not necessarily lead to an increase in expenditures on staff relative to other costs, NIE concluded (Administration of Compensatory Education, 1977).1/

.. How Do Local School Districts Fulfill Their Responsibilities?

Results on many aspects of the conduct of local projects were discussed in prior sections (e.g., allocations, needs assessments, targeting of services, the nature of and settings in which services are offered to public and non-public school children, etc.). Also noted were requirements for locals to utilize Parent Advisory Councils, to insure that Title I funds and services are "in addition to" State and local funds and services, to provide services to eligible non-public school students, and to evaluate their project at least once every three years.

... Parent Involvement

The Education Amendments of 1978 continued a trend established in earlier legislation to give greater involvement and authority to PACs in the planning and implementation of local projects. In addition, these Amendments specify the composition and terms of council membership, the kinds of information and training that council

---

1/ As noted earlier P.L. 95-561 not only increased a State set aside to one- and one-half percent but prescribed more specific kinds of activities that States were to carry out with these funds.

members will receive, and require assessments of the effectiveness of such training and of the advisory councils themselves (see the List of Projects at the end of this report for a description of this latter activity). Information currently available on parent involvement and parent advisory group activities do not reflect a direct assessment of such activities but rather reflect a synthesis of different kinds of information collected as part of a larger study which is not focused on parent involvement. Results from this synthesis for the 1976-77 school year are given below (OED, 1979).

- Most parents indicated that they were satisfied with the quality of their child's education with low-income parents expressing slightly less satisfaction than others.
    - -- Satisfaction was greatest with the school staff and the physical aspects of schooling.
    - -- Parents would make improvements in the areas in which they also express greatest satisfaction with one exception: more emphasis is given to the improvement of academic programs than to satisfaction with them.
- Conferences about their child's status and progress were a frequent means of contact with the school — almost all parents thought such conferences were helpful.
    - — Most parents indicated that they attended extra-school activities (e.g., plays and science fairs) put on by the children with low-income and minority parents somewhat less likely to attend (children from these backgrounds were also less likely to participate).
- About two in three parents were aware of special classes at their child's school designed to help children learn subjects with which they had problems, with Title I parents indicating the greatest level of awareness.
    - -- Parents of Title I students could more readily identify the purposes of the Title I program, were more likely to be aware of their child being in such a class, and three in four thought the program was extremely or very helpful for their child.
- About half of all parents were not aware of advisory groups at their child's school (other than the PTA or PTO).
    - -- Less than one-third of the parents who were aware of such groups could identify them by their name but among those who could, two in three could correctly identify its purposes and thought that it was very or somewhat successful in accomplishing such purposes.

-- About two in three parents of compensatory students neither knew of nor voted in an election for such a group.

- Schools that reported a high degree of parent involvement appear to have such involvement, at least in part, as a response to special problem situations (larger, urban schools with high concentrations of low-income, minority, and low achieving students and with much student mobility and disruption of instruction, etc.).

— In contrast, individual students who have high parent involvement are more likely to come from non-low-income, majority backgrounds, and are concentrated in the lower than in the higher grades (involvement declines progressively at the higher grades).

... Maintenance of Effort

As noted in an earlier section of this report (see Program Operations) there are a number of requirements associated with Title I that are intended to insure that Federal funds are used in addition to State and local funds rather than as a substitute for them. In the Education Amendments of 1978 (Sec. 417(a)(1) of the General Education Provisions Act, as amended by Sec. 1246 of P.L. 95-561) Congress directed the Commissioner of Education to report on "compliance of provisions of law requiring the maintenance of non-Federal expenditures". This requirement, called maintenance of effort, is intended to insure that an SEA or LEA does not lower its level of expenditures in a fiscal year (or years) so that Federal funds constitute a greater proportion of their total expenditures. (See Sections 126(a) and 198(c) of Title I, as amended by P.L. 95-561). This determination is made by comparing expenditures on an aggregate or per pupil basis for the two fiscal years preceding the year in which funds are sought. If an SEA or LEA fails to maintain its level of effort it risks losing its Title I funds. An allowance is made for exceptional circumstances which lead to a decline in the financial resources of an SEA or LEA. Waivers are granted by the Commissioner of Education for one year only. Agencies receiving waivers may not take that year into account when computing the final effort in subsequent years. The amount of funds received by an agency during the waiver year is reduced by the same proportion that they reduce their fiscal effort. Funds obtained from this proportionate reduction may be reallocated to other LEAs. There are two main sources of information on maintenance of effort: Waiver applications; and audit reports. The most recent information from these sources indicates that from October 1, 1978 to September 30, 1979, four waiver requests were received and three were granted. The reason for granting these three waivers was that the school districts presented special levy propositions to the voters which were defeated twice within a 12 month period. In the single district where the request was denied the district elected to maintain a large cash reserve in anticipation of future levy failures and therefore had sufficient resources to meet the maintenance of effort requirement. There were no HEW Audit Agency reports with a finding that local district failed to maintain effort.

... Bypass Services For Non-Public School Students

If a school district is unable or unwilling to provide services to eligible non-public school students residing in eligible attendance areas, USOE can contract for the provision of services using funds from the district/State allocation. This "by-pass" provision has been invoked in two States.

... Local Evaluations

In order to fulfill their annual evaluation and reporting responsibilities local districts spend on an average about 6.4 percent of their total project grant (GAO, 1977) for such purposes -- a figure which may change once the new Title I evaluation and reporting models are put into effect (see the Appendix for more details on these latter efforts).

Ongoing Projects

A Study of the Sustaining Effects of Compensatory Education on Basic Skills

This study has two major purposes: (1) to obtain information on the numbers of economically and educationally disadvantaged students who do and do not receive compensatory services; (2) to report on the benefits they derive from such services in terms of their cognitive skills during more than one academic year and to isolate those sequences of services that were most beneficial.

A Study of Parental Involvement in Four Federal Education Programs (ESEA Title I, ESAA, Bilingual, and Follow Through

This study will examine both formal and informal modes of parent involvement in general school activities and as they relate to one's own children. It will describe the ways in which Parent Advisory Councils are formed and utilized, how much they cost and what impact they have on various aspects of the projects as well as on parents of students participating in the project or attending the project school. It will also examine the ways in which multiple PACs are handled at schools that have projects funded by two or more of the programs. Model approaches to effective parent involvement will also be identified.

A Study of the Utilization and Effects of Alternative Measures of Comparability

Section 102 of P.L. 95-561 directs the Commissioner to "make a study of the feasibility and desirability of alternative criteria for demonstrating the comparability of services provided with State and local funds in each project area to those provided outside such areas which ensure, at least to the same extent as the criteria in existing regulations published in the Federal Register, that children in each school serving such a project area receive comparable services paid for out of State and local funds." To carry out the study the Commissioner may select all the LEAs in one State and not more than 20 LEAs in other States which are reasonably representative of the various geographical regions of the Nation. Participating agencies may be granted a waiver in order to use substitute criteria. However, a number of conditions exist for the use of substitute criteria. Among these are: approval by the District PAC; comparability among project and non-project schools using the substitute criteria (not to exceed 5 percent for each project school compared to all non-project schools); compliance to be determined by services actually received during the current school year; continuation of reporting using existing criteria, etc. Rather than being treated in a narrow fiscal accounting framework this study will emphasize the services actually received aspect of the mandate especially as these relate to issues being examined in the school finance studies. Current plans are to solicit expressions of interest from SEAs and LEAs as to their willingness to participate in such a study using either criteria devised by themselves or one(s) developed by USOE. From these volunteers a selection will be made and a waiver granted in time to enable the new criteria to be used during the 1980-81 school year. Services actually received will be determined for the different types of schools/criteria/participants by contractual arrangement in order to meet the September 30, 1981 reporting requirement.

For further information about program operations,

Contact: Richard Fairley, (202) 245-2722.

For further information about studies of program effectiveness,

Contact: Janice Anderson, (202) 245-8380.

Sources of Evaluation Data

1979

David, J., *A Descriptive Study of Title I Summer Programs.* Stanford Research Institute Internation, Menlo Park, California, 1979.

Hammond, P. and J. Frechtling, *Twelve, Nine and Three Month Achievement Gains of Low- and Average-Achieving Elementary School Students.* A paper presented at the annual meetings of the American Educational Association, San Francisco, California, 1979.

Hoepfner, R., *Summer School: Is There an Achievement Drop Over the Summer and Does Summer School Alleviate It?* A paper presented at the annual meetings of the American Educational Research Assiciation, San Francisco, California, 1979.

Office of Evaluation and Dissemination, *Providing Compensatory Services - A Technical Summary.* U.S. Office of Education, Washington, D.C., 1979.

1978

Breglio, V. J., R. H. Hinckley, R. L. Beal, *Student's Economic and Educational Status and Selection for Compensatory Education.* System Development Corporation, Santa Monica, California and Decima Research, Santa Ana, California, 1978.

Hoepfner, R., et al., *A Study of Achievement Scores Over the Summer Months.* System Development Corporation, Santa Monica, California, 1978.

Office of Planning, Budgeting and Evaluation, *Executive Summary: Student Economic Background, Achievement Status and Selection for Compensatory Services.* U.S. Office of Education, Washington, D.C., 1978.

Office of Planning, Budgeting and Evaluation, *Technical Summary: Student Economic Background, Achievement Status and Selection for Compensatory Services.* U.S. Office of Education, Washington, D.C., 1978.

Office of Planning, Budgeting and Evaluation, *Uses of State Administered Federal Education Funds.* DHEW, U.S. Office of Education, Washington, D.C., 1978.

Wang, M., et al., *The Nature and Recipients of Compensatory Education.* System Development Corporation, Santa Monica, California, 1978.

1977

Congressional Budget Office, *Poverty Status of Families Under Alternative Definitions of Income.* Congress of the United States, Washington, D.C., 1977.

Educational Programs That Work, DHEW, U.S. Office of Education, Washington, D.C., Volume IV, Winter, 1977.

Hearings Before the Subcommittee on Elementary, Secondary and Vocational Education of the Committee of Education and Labor, House of Representatives, 95th Congress, First Session on H. R. 15, Part 16; Services and Student Development. U.S. Government Printing Office, Washington, D.C., 1977.

Hemenway, J., and D. Ozenne, An Examination of the Effects of Summer School Attendance on ESAA Evaluation Participants. System Development Corporation, Santa Monica, California, 1977.

Hoepfner, R., H. Zagorski, aand J. B. Wellisch, The Sample for the Sustaining Effects Study and Projections of Its Characteristics to the National Population. System Development Corporation, Santa Monica, California, 1977.

Miller, H. P., Impact of Updated Estimates of Children in Poverty on the Allocation of Title I Funds. Stanford Research Institute, Menlo Park, California, 1977.

National Assessment of Educational Progress Newsletter, Volume X, No. 2, April 1977.

National Institute of Educational, Administration of Compensatory Education. DHEW, Washington, D.C., 1977.

National Institute of Education, Compensatory Education Services, DHEW, Washington, D.C., 1977.

National Institute of Education, Demonstration Studies of Funds Allocation Within Districts. DHEW, Washington, D.C., 1977.

National Institute of Education, The Effects of Services on Student Development. DHEW, Washington, D.C., 1977.

National Institute of Education, Title I Funds Allocation: The Current Formula. DHEW, Washington, D.C., 1977.

National Institute of Education, Using Achievement Test Scores to Allocate Title I Funds. DHEW, Washington, D.C., 1977.

Office of Planning, Budgeting, and Evaluation, Executive Summary: Elementary Schools and the Receipt of Compensatory Funds. U.S. Office of Education, June 1977.

Pelavin, S., and J. David, Evaluating Long Term Achievement: An Analysis of Longitudinal Data From Compensatory Education Programs. Stanford Research Institute, Menlo Park, California, 1977.

Problems and Needed Improvements in Evaluating Office of Education Programs. Government Accounting Office, Washington, D.C., 1977.

1976

Annual Evaluation Report on Programs Administered by the U.S. Office of Education, FY 1976. Washington, D.C., DHEW/USOE/OPBE.

Educational Programs That Work. USOE/DHEW, Washington, D.C., Fall, 1976.

National Assessment of Education Progress Newsletter, Volume IX, No. 6, December 1976.

National Assessment of Education Progress Newsletter, Volume IX, No. 5, October 1976.

National Center for Educational Statistics, Pupil Participation, Staffing and Expenditures in Federally Aided Programs Operated by School Districts 1973 (CPIR). DHEW, U.S. Government Printing Office (NCES 76-300), Washington, D.C., 1976.

National Institute of Education, Evaluating Compensatory Education: An Interim Report on NIE Compensatory Education Study. Department of Health, Education, and Welfare, Washington, D.C., 1976.

Office of Planning, Budgeting, and Evaluation, Executive Summary: A Study of Compensatory Reading Programs. U.S. Office of Education, D.C., 1976.

Thomas, T. C. and S. H. Pelavin. Patterns in ESEA Title I Reading Achievement. Education Policy Research Report 4537-12. Stanford Research Institute, Menlo Park, California, March 1976.

U.S. Department of Health, Education and Welfare, The Measure of Poverty: A Report to the Congress as Mandated by the Education Amendments of 1974. Washington, D.C., 1976.

1975

Assessment of Reading Activities Funded Under the Federal Program of Aid for Educationally Deprived Children. (GAO) Washington, D.C.: U.S. Government Printing Office, 1975.

Coulson, J. E., et al., The First Year of the Emergency School Aid Act (ESAA) Implementation. Santa Monica, California, System Development Corporation, September 1975.

Educational Programs That Work. U.S. Office of Education, Department of Health, Education and Welfare, Washington, D.C., December 1975.

Gamel, N. N., et al., State ESEA Title I Reports: Review and Analysis of Past Reports, and Development of a Model Reporting System and Format. RMC Research Corporation, Mountain View, California, October 1975.

State Compensatory Education Programs. Washington, D.C., U.S. Government Printing Office, 1975.

Thomas, T. C., and S. I. Kutner, *Subcounty Allocation of ESEA Title I Funds.* Educational Policy Research Center Research Memorandum 23, Stanford Research Institute, Menlo Park, California, January 1975.

1974

Bowers, J., et al., *Examination and Selection of Exemplary Reading Projects.* Palo Alto, California, American Institute for Research, 1974 (Right-to-Read).

Foat, C. M., *Selecting Exemplary Compensatory Education Projects for Dissemination via Project Information Packages.* Los Altos, California, RMC Research Corporation, August 1974.

National Center for Educational Statistics, Bulletin No. 19, Department of Health, Education, and Welfare, U.S. Office of Education, July 12, 1974, (CPIR 1971-72).

Tallmadge, G. K., *The Development of Project Information Packages for Effective Approaches in Compensatory Education.* Los Altos, California: RMC Research Corporation, October 1974.

1973-1972

Tallmadge, G. K., *An Analysis of the Relationship Between Reading and Mathematics Achievement Gains and Per-Pupil Expenditures in California Title I Projects, Fiscal Year 1972.* Palo Alto, California, American Institutes for Research, March 1973, (ERIC No. ED 071189).

The Process of Funds Allocation Under Title I of the Elementary and Secondary Education Act of 1965 Interim Report. Washington, D.C., National Bureau of Standards (Technical Analysis Division), March 1973.

The Silken Purse: Legislative Recommendations for Title I of the Elementary and Secondary Act. Washington, D.C., The Planar Corporation, October 1973.

Title I Reading and Mathematics Programs: A Compilation and Synthesis of Available Achievement, Expenditure and Model Project Information. Washington, D.C., The Planar Corporation, August 1973.

Berk, J., and H. Kirst, *Federal Aid to Education: Who Benefits? Who Governs?* Lexington, Massachusetts: Lexington, Books, D.C. Heath, 1972.

Wargo, M. J., et al., ESEA Title I: A Reanalysis and Synthesis of Evaluation Data From Fiscal Year 1965 through 1970. American Institute for Research, Palo Alto, California, March 1972, (ERIC No. ED 059415).

DHEW Audit Agency Reviews of Title I, ESEA. Washington, D.C.: 1967-1970; 1971, 1972.

1971-1968

Further Examination of Exemplary Programs for Educating Disadvantaged Children. Palo Alto, California, American Institutes for Research, July 1971.

Johns, R. L.; K. Alexander; D. H. Stoller, Status and Impact of Educational Finance Programs. Gainsville, Florida, National Educational Finance Project, 1971.

Compensatory Education Evaluation 1968-69: Contingency Tables. Boulder, Colorado: LER/University of Colorado, April 1970.

Data Analysis of 1969-70 Survey of Compensatory Education (Title I). Amherst, Massachusetts: University of Massachusetts, undated.

Data Analysis of the 1968-69 Survey of Compensatory Education (Title I). Final Report, Boulder, Colorado: University of Colorado/Laboratory of Education Research, August 1970.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Title I, ESEA, Migrant Education Program

Legislation:

Sections 141-143 of Title I of the Elementary and Secondary Education Act of 1965, as amended

Expiration Date:

June 30, 1983

Funding History:

Year	Authorization	Appropriation
1967	$ 40,394,401	$ 9,737,847
1968	41,692,425	41,692,425
1969	45,556,074	45,556,074
1970	51,014,319	51,014,319
1971	57,608,680	51,608,680
1972	64,822,926	64,822,926
1973	72,772,187	72,772,187
1974	78,331,437	78,331,437
1975 1/	189,043,638	189,043,638
1976	130,909,832	130,909,832
1977	145,759,940	145,759,940
1978	173,548,829	173,548,829
1979	209,593,746	209,593,746
1980	252,315,000	245,000,000

Program Goals and Objectives:

Title I of P.L. 89-10, the Elementary and Secondary Education Act of 1965, authorized a national education program for disadvantaged children. Section 101 of that law, as amended, states:

> ...the Congress hereby declares it to be the policy of the United States to provide financial assistance (as set forth in this part) to local educational agencies serving areas with concentrations of children from low-income families to expand and improve their educational programs by various means (including preschool programs) which contribute particularly to meeting the special educational needs of educationally deprived children.

In November 1966, Title I of ESEA was amended by P.L. 89-750 to incoporate special provisions for migrant children of migrant agricultural workers. The new program provided for grants to State educational agencies (SEAs)

1/ Commencing in 1976 the program is advance funded from prior year appropriation. This resulted in a doubling up of funding in 1975. Funds are shown in year appropriated.

or combinations to establish or improve, either directly or through local educational agencies (LEAs), programs and projects designed to meet the special educational needs of migrant children. P.L. 89-750 also provided that grant monies were to be used for interstate coordination of migrant education programs and projects, including the transmittal of pertinent information from children's school records. Section 101 of P.L. 93-380 (the Education Amendments of 1974) further amended Title I to include migrant children of migrant fishermen. The Education Amendments of 1978 (P.L. 95-561) reorganized the Title I legislation; sections 141-143 pertain to the Migrant Education Program.

In discussions associated with the preparation of the Education Amendments of 1974, Congress emphasized "that local educational agencies should give priority attention in operating Title I programs to the basic cognitive skills in reading and mathematics and to related support activities to eliminate physical, emotional or social problems that impede the ability to acquire such skills." 1/ Final regulations (published in the Federal Register on November 13, 1978 at 43 FR 52676) for the Migrant Education Program emphasize the same point with the inclusion of the following criteria for the approval of State applications (section 116d.39(b)): "Projects to be funded...hold reasonable promise of making substantial progress toward meeting the special educational needs of the migratory children to be served, particularly any need for improvement in the basic academic subjects." In addition, Section 116d.38(a) of the regulations states: An SEA or an operating agency may provide health, welfare, or other supporting services with Title I migrant education funds, but only if those services are necessary to enable eligible migratory children to participate effectively in instructional services.

A list of services to be provided by the Migrant Education Program is contained in section 116d.51 of the proposed revisions to the final regulations (44 FR 28184):

> (1) Remedial and compensatory instruction; (2) Academic and vocational instruction; (3) Bilingual and multicultural educational services; (4) Special guidance, counseling, and testing services; (5) Preschool services; (6) Educational services that are not available to eligible migratory children in adequate quantity or quality; and (7) The purchase of instructional materials-such as books and other printed or audiovisual materials-and equipment.

1/ See pp. 20-21 of House Report No. 93-805). Both House and Senate discussions (see Senate Report No. 93-763, pp. 30-31) recognized that such an assertion was not intended to preempt the prerogatives of local authorities to give priority to other areas (e.g., teacher training), if such emphases were required to better meet the needs of disadvantaged children.

An implicit goal of the migrant education program is to serve all eligible migrant students in order that they may benefit from "regular" and supplementary educational and supportive services. In the case of migrant students, identification and recruitment of eligible students requires special efforts. Migratory workers and their children have long been ignored by society. Drawing them into the school system thus becomes a special activity in itself.

Program Operations:

The Title I program for migratory children is a State-operated program which typically involves financial assistance to local eudcational agencies as subgrantees. Administrative responsiblities are shared by the U.S. Commissioner of Education, State educational agencies, and local educational agencies and other public and non-public private organizations which operate migrant education projects. Funding of local Title I migrant education projects is administered by USOE through State educational agencies. The formula for computing the maximum grant a State may receive is based on the number of full-time (that is, formerly migratory and currently migratory intrastate students) or full-time equivalent (that is, currently migratory interstate students) school-aged (5-17 years) migrant children residing in the State over a 12 month period. Beginning in FY 1975 State allocations have been based on migrant student counts contained in the Migrant Student Record Transfer System, a computer system housed in Little Rock, Arkansas under contract to the State education agency. The regulations are being revised to incorporate changes made in the law by the Education Amendments of 1978 (P.L. 95-561). One change will provide a mechanism for adjusting the count of eligible migratory children in each State during the summer months in order to reflect the special needs of migratory children for summer projects and the additional costs of operating these projects. Another change will authorize the Commissioner to reallocate excess funds from one SEA to another in cases where, in the preceding two fiscal years, the SEA has carried over from one year to the next more than 15% of its migrant education grant. A third change will required the Commissioner to reserve at least $6 million per year from the appropriation for the Migrant Education Program for coordination of migrant activities across the States.

The SEA is directly responsible for the administration and operation of the State's Title I migrant education program. The SEA approves or disapproves project proposals, and is responsible for the design and preparation of State evaluation reports. Annually, each SEA also submits a comprehensive plan and cost estimate for its statewide program to the Office of Education for approval. Section 116d.32 of the final regulations provides that this plan is to contain information on: the expected number and location of eligible migrant students within the State, the number expected to be served and an explanation if the number to be served is less than the number of eligible students, the migrant children's special educational needs, including an assessment of their cultural and linguistic backgrounds, program objectives, services to be provided to meet those objectives, evaluation procedures for determining program effectiveness, assurances by the SEA that migrant students will have access to locally-funded facilities and services, and the steps the SEA will take to assure continuity of program services including the exchange of course credits and the types of information which the SEA will pass on to other SEAs. Each state application form also contains an appropriate budget. Section 116d.39 of the regulations further provides that the Commissioner shall approve a State application only if it demonstrates that payments will be used for projects designed to meet the special educational needs of migrant children including provision for the continuity of educational and supportive services, that there will be full utilization of the Migrant Student Record Transfer System, and that the SEA has made every reasonable effort to identify and recruit all eligible students.

If the State's application is approved, it is awarded a grant, entirely separate from its regular Title I application, to finance the migrant education program. Section 116d.40 provides that two or more SEAs may submit an application for a joint program or project to be administered under an appropriate interagency agreement.

Proposals to operate a migrant project are submitted to SEAs by local educational agencies which serve migrant students, and by other public and non-profit private agencies. (Note that proposals are submitted on a voluntary basis). Section 116d.6 of the regulations provides that proposals shall describe the objectives to be achieved by the operating agency for each grade group, the total estimated number of children to be served by the agency, an explanation if all school-aged eligible students are not to be served, the services to be provided to achieve the stated objectives, the types and number of staff to be employed, and an appropriate budget.

The statute also includes a by-pass provision whereby the Commissioner may conduct migrant programs through special arrangements with other public or non-profit private agencies in one or more States, and may use all or part of the grants available for any such State if he determines that a State is unable or unwilling to conduct educational programs for migratory children, or that other arrangements would result in more efficient and economic administration or would add substantially to the welfare or educational attainment of migrant children.

In order to implement a migrant education project, operating agencies must identify and recruit migrant children in their respective attendance areas. Section 116d.2 of the regulations provides for two categories of migrant children: currently migrant and formerly migrant. A currently migrant child is a child whose parent or guardian is a migrant agricultural worker or fisher and who has moved from one school district to another within a twelve month period in order for the child, or a member of his immediate family, to obtain employment in an agricultural or fishing activity. A formerly migrant child is a child who was eligible to be counted and served as a currently migrant child within the past 5 years, lives in an area served by a Title I migrant education project, and has the concurrence of his or her parent or guardian to continue to be considered a migrant child.

It is the intent of the migrant education program to serve those children with the greatest need. Under Section 142(a)(5) of Title I, highest priority is given to school-aged (5 through 17 years old) currently migrant children. Section 116d.58(c) of the proposed revisions to the final regulations proposes to clarify and order the educational service priorities as follows: (a) school-aged currently migratory children, (b) school-aged formerly migratory children (c) preschool currently migratory children, (d) preschool formerly migratory children. Day care services may be provided with specific approval of the Commissioner only when necessary to enable eligible migratory children to receive instructional services supported by Title I. (Section 116d.38(b) of the final regulations)

An important component of the national program is the Migrant Student Record Transfer System (MSRTS). This computerized data system receives, stores, and transmits educational and health information on children participating in Title I migrant education projects in each of the 48 continental States. Schools are responsible for submitting health-related, and educational experience and status, information on the migrant children they serve to the local terminal operator in order to maintain the accuracy, completeness, and currency of information in the student record transfer system. When children move to new locations, this information can then be retrieved by their new teachers and by school health officials.

In meeting the need for continuity of educational services, State Migrant Education Coordinators have developed lists of criterion-referenced reading and math skills. These are being added to the MSRTS files so that, as students move from one school to another, their records will indicate which reading and math skills they have mastered. The plan is to aide teachers to design an appropriate educational program for each child. The MSRTS has also been used to meet the needs of secondary school migrant students who are often unable to graduate from high school because their mobility prevents them from meeting minimum attendance requirements necessary to receive high school course credit. The Washington State Migrant Education Program in cooperation with the Texas Migrant Education Program developed a program known as the Washington-Texas Secondary Credit Exchange Project, a combination of night school and coordination with the student's home-base schools to insure proper crediting of course work. This project has been approved for wide-scale dissemination by the U.S. Office of Education.

Program Scope:

The Migrant Education Program is a growing program within Title I. It seeks to improve educational opportunities for a target population facing problems which are probably more severe than for any other group. Not only are migrant students typically educationally and economically disadvantaged in comparison to the rest of American society, but, in addition, actively migrant students by definition miss the systematically sequenced and sustained educational programs available to most non-migrant children.

The following list indicates the number of full-time equivalent students eligible for migrant program services since 1973. These counts serve as the basis for program funding, e.g, the 1973 FTE figure was used to determine FY 1975 funding.

Calender Year	Full-time Equivalent Students (ages 5-17)
1973	212,473
1974	207,474
1975	267,791
1976	296,428
1977	323,504
1978	346,205

A count of the actual number of students identified as eligible for program services and enrolled in the MSRTS is provided below. Increases in the number of identified migrant children (actual counts and FTE counts) represent intensified and refined identification and recruitment efforts rather than substantial increases in migratory labor. It is expected that the total number of identified children will level off as recruitment efforts reach completion.

Calendar Year	Number of Eligible Students
1976	458,241
1977	467,796
1978	494,417

The number of migrant children enrolled in the MSRTS during calendar year 1978 may also be categorized as follows:

K-12	87%
Preschool	13%
	100%

Interstate Agricultural	41.7%
Intrastate Agricultural	25.6%
Formerly Agricultural	30.9%
Interstate Fishing	0.5%
Intrastate Fishing	0.4%
Formerly Fishing	0.9%
	100.0%

The following table indicates the number of children of migratory fishers enrolled in the MSRTS since 1975 when P.L. 93-380 authorized their eligibility for migrant program services.

	Student Enrollments			
	1975	1976	1977	1978
Interstate Fishers	885	1,770	2,159	2,429
Intrastate Fishers	526	1,219	1,530	1,950
Five-Year Fishers	982	2,522	3,094	4,378
Total	2,393	5,511	6,783	8,757

Information from the Migrant Student Record Transfer System indicates that in calendar year 1978, 494,417 students (infants through 21 years of age) in 16,000 schools were served in the Migrant Education Program. Approximately 157,000 students were formerly migratory. A total of 3,000 migrant education projects were in operation. Forty-seven States and Puerto Rico initiated State migrant education programs during fiscal year 1979. There were no programs in Hawaii, New Hampshire, Rhode Island or the territories.

Program Effectiveness and Progress:

The growth of the Migrant Education Program from 121 projects in 1967 serving approximately 43,000 students to 3,000 projects in 1978 serving approximately 494,000 students suggests that the target population is being identified and served.

The effects on participating students of educational and supportive services provided under the Migrant Education Program are difficult to document. A descriptive study of the migrant program was conducted in 1975 by the Office of Education. Sites visits were conducted at 162 project schools in 72 school districts in ten States (California, Texas, Florida, Colorado, Michigan, New Jersey, New York, North Carolina, Ohio, and Washington) which received more than 70 percent of the migrant education program funds in 1972; principals, teachers, teacher aides, members of advisory committees, parents, and students were interviewed. (Exotech, 1974).

Analysis of the data indicated that migrant students and their parents reflect the values of the larger society in that they are supportive of the goals of the educational system, and parents share their children's aspirations for employment outside of the migrant stream in white collar and blue collar positions. Unfortunately, the mobility patterns of migrant students make the task of providing them with an effective educational program extremely difficult. Study findings indicated that migrant students tend to fall behind their non-migrant peers in grade level and in level of academic achievement in the earliest years of school, and therafter, are unable to catch up. They are also less likely to enter or complete a secondary school program. Whereas the non-migrant child has a 95 percent chance of entering the ninth grade and an 80 percent chance of entering the 12th grade, the migrant child has only a 40 percent and an 11 percent chance of entering the ninth and 12th grades, respectively.

A GAO study (Sept. 16, 1975) of the use of the Migrant Student Record Transfer System as a means of estimating the number of full-time equivalent migrant children residing in each State concluded that MSRTS data were superior to Department of Labor data for determining migrant education program allocations. However, GAO did not assess the accuracy and completeness of the MSRTS data.

A 1978 Office of Education internal audit of the administration of the Migrant Education Program resulted in a number of recommendations pertaining to (1) the application process (including the use of specific criteria for assessing the quality of State applications, the use of non-Federal readers, conduct of pre-grant site reviews, fixing application receipt and response dates, and employing sanctions to assure compliance with the terms and conditions of grant awards); (2) the allocation of program funds (including use of the by-pass mechanism and procedures for reallocating excess funds); (3) increasing parental involvement,(4) improving intrastate and interstate coordination; (5) re-ordering the priority given to preschool currently migratory children, and (6) raising the organizational structure of the Migrant Education Program from a branch to a division. Many of the recommendations have been incorporated into proposed revisions to the final regulations (44 FR 28184).

Ongoing and Planned Projects

The current U.S. Office of Education Study of the ESEA Title I Migrant Education Program is designed to meet a number of objectives. With respect to the comprehensiveness of program services, a study of representative samples of migrant education projects and identified migrant students will provide information on the nature of the educational and support services offered by funded school districts, an assessment of the extent to which students receive services as they move from school district to school district, and a description of the characteristics of participants. In the area of program impact and effectiveness, a large-scale testing effort of some 6,000 migrant students will provide information on the basic skill attainment and persistence in school attendance of second-, fourth-, and sixth-grade participants. A third objective focuses on a validation of the counts of migrant students used in the allocation of funds to the States. Lastly, a set of evaluation procedures for States and local educational agencies to use in evaluating migrant education program activities is under development. Data collection for the study began in January 1978 and was completed in the Spring of 1979. Data analysis and report writing will be completed by September 1980. Results of this evaluation of the Migrant e Education Program will be reported in future annual evalution reports as they become available.

Sources of Evaluation Data

Current

Evaluation of the Impact of ESEA Title I Program for Migrant Children of Migrant Agricultural Workers (Volumes I-IV). Falls Church, Virginia: Exotech System, Inc., January 1974.

Evaluation of the Migrant Student Record Transfer System (MWD-76-21). Washington, D.C.: General Accounting Office, September 1975.

Grants to State Educational Agencies to Meet the Special Educational Needs of Migratory Children: Rules and Regulations (Final). 43 *Federal Register* 52676 (November 13, 1978).

Grants to State Educational Agencies to Meet the Special Educational Needs of Migratory Children: Notice of Proposed Rulemaking, 44 *Federal Register* 28184 (May 14, 1979).

Other

Hill, S.T. , and R.N. Jessee. *Migrant Program Statistics: 1972-73 Regular and 1973 Summer School Terms* (NCES 77-156). Washington, D.C.: National Center for Education Statistics, U.S. Department of Health, Education and Welfare, 1977.

For further information about program operations,

Contact: Vidal A. Rivera, Jr.
(202) 245-2222

For further information about studies of program effectiveness,

Contact: Burma H. Hulten
(202) 245-8364

Annual Evaluation Report on Education Programs

Program Name:

Title I ESEA, State-operated Program for Institutionalized Neglected or Delinquent Children

Legislation:	**Expiration Date:**
Sections 151-153 of Title I of the Elementary and Secondary Education Act of 1965, as amended	September, 1983

Funding History:	Year	Authorization	Appropriation 1/
	1969	13,946,100	13,946,100
	1970	15,962,850	16,006,487
	1971	18,194,106	18,194,106
	1972	20,212,666	20,212,666
	1973 2/	27,545,379	27,545,379
	1974	25,448,869	25,448,869
	1975 3/	54,280,193	54,180,193
	1976	28,841,151	28,841,151
	1977	29,821,338	29,821,338
	1978	31,807,484	31,807,484
	1979	33,182,207	33,182,207
	1980	40,000,000	35,571,000

Program Goals and Objectives:

As part of ESEA Title I, the program for institutionalized neglected or delinquent children responds to the larger program's goals as stated in P.L. 89-10; that is, to

> "improve educational programs by various means (including preschool programs) which contribute particularly to meeting the special educational needs of educationally deprived children." (Section 101 of P.L. 89-10)

1/ Section 144 of ESEA, Title I requires that grants for the State-operated program for the neglected or delinquent (as well as those for State programs for the handicapped and for migrant children) be awarded as authorized. This is referred to as "off-the-top funding" or being "fully funded", in contrast to LEA grants that are reduced as necessitated by appropriations.

2/ Beginning in 1973, unlike the previous years, funds were authorized and appropriated to serve children in adult correctional institutions. About $6.8 million of the $7.3 million overall increase between 1972 and 1973 is attributable to the addition of that population.

3/ Commencing in 1976 the program is advance funded from prior year appropriations. This resulted in a doubling up of funding in 1975; Funds are shown in year appropriated.

The amendments in P.L. 89-750 passed on November 3, 1966, which added institutionalized neglected or delinquent youth (as well as children of migratory agricultural workers and Indian children in B.I.A. schools) to those eligible under P.L. 89-10, stated goals for these subprograms. With respect to the neglected or delinquent children, the law states that the funds must be used "only for programs and projects (including the acquisition of equipment and where necessary the construction of school facilities) which are designed to meet the special educational needs of such children." (Section 123 (c) of P.L. 89-10 as amended, underlining added)

Specifically, in applying for Title I funds, a State agency must demonstrate that the proposed project has "reasonable promise of substantial progress toward meeting the special educational needs of the children to be served." (Federal Register, April 4, 1978, p. 14296).

Program Operations:

The Title I program for children in institutions for neglected or delinquent youth or in adult corrections facilities is administered by USOE, State education agencies, the State agency responsible for educating children in institutions, and institution education personnel. Such institutions whose children are eligible to receive services are defined as follows:

(1) "An institution for neglected children means a facility (other than a foster home) which is operated for the care of children who are in the custody of a public agency as the result of a determination of neglect under State law. and which has an average length of stay of at least 30 days."

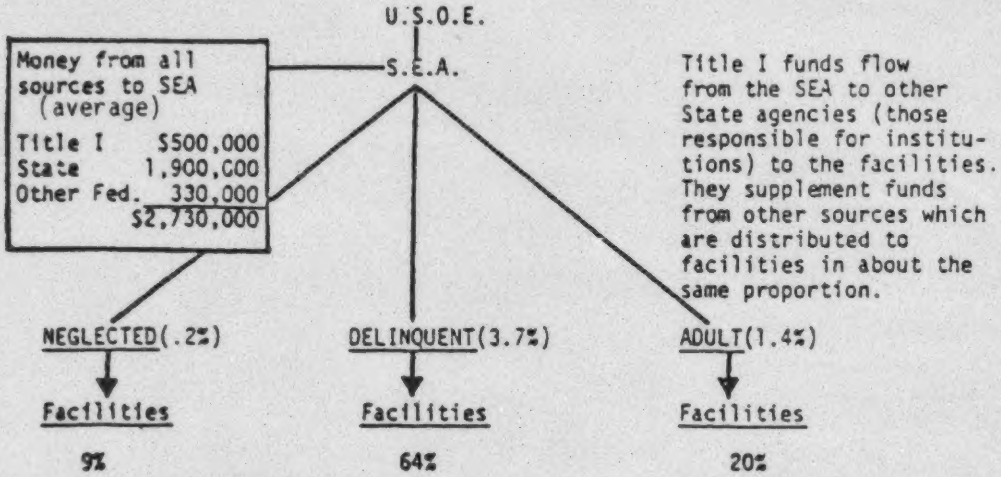
(2) "An institution for delinquent children means a facility which is operated for the care of children who are in the custody of a public agency as a result of a determination under State law that they are either (a) delinquent or (b) in need of treatment or supervision after being charged with a violation of State law, and which has an average length of stay of at least 30 days."

(3) "Adult correctional institution means a facility in which persons are confined as a result of a conviction of a criminal offense, including persons under 21 years of age." (Federal Register, April 4, 1978, pp. 14294,5).

Title I grants are made to State agencies (SAA) responsible for the education of children in institutions they operate or support. Each such agency is, then, a Title I grantee. Its grant is based on the average daily attendance of children receiving free public education for at least 5 hours per week in the institutions administered by that agency. The size of the grant is stipulated in section 151 (b) of the legislation to be that average daily attendance figure multiplied by 40% of the State's average per pupil expenditure and no more than 120% of the U.S. average). (Further, Section 157 of the same legislation states that no State agency shall receive less than 85% of what it received in Fiscal Year 78.)

The funding of this program can be described in two ways: in terms of its flow from USOE to SEA to SAA to institution and in terms of its uses in the institutions to provide Title I services to participation students. Figure 1 illustrates the flow of Title I N or D dollars to institutions. On the average, a State's SAA's retain about 6% for administration. Facilities for delinquent youth then receive about 64% of a State's appropriation; those for adult offenders, about 20%; and those for neglected children, about 9%. These figures are very similar to those for the distribution of State funds across agencies, although typically larger portions of State funds are retained for administrative uses.

Figure 1. Flow of Funds



Title I funds flow from the SEA to other State agencies (those responsible for institutions) to the facilities. They supplement funds from other sources which are distributed to facilities in about the same proportion.

(Figures in parentheses reflect funds used for administration.)

Funds available at the State level for education in institutions for neglected youth, delinquents, or adult offenders average about $2.1 million per State, ranging from about $17,000 to over $10 million. Approximately 68% of these funds are from the State, 20% from ESEA Title I, and 12% from other federal sources. The average Title I grant is about $500,000 with a range of $24,000 to over $2.2 million. State funds average about $2 million, providing a typical per-pupil expenditure from all sources just slightly less than that found in public schools currently (System Development Corporation, 1977).

Once the various monies are received by facilities, they are spent primarily on staff and materials. Nearly 75% of the Title I funds, on the average, support staff; this compares with 81% of the State funds being so used, and 40% of the funds from other Federal programs. In the case of Title I, nearly all those staff (over 80 percent on the average) are classroom personnel (teachers and paid aides); about 3% are administrators; about 6% counselors; and about 11% other types of support personnel. (This is in marked contrast with the expenditure pattern for staff from State funds and other Federal funds: in the case of the former, only about 41%, on the average, supports classroom personnel, 12% for administrators, and 37% for other support). This seems to confirm interviewees' reports in the national study that the emphasis in Title I is on instruction (System Development Corporation, 1977).

On the average, the Title I per-pupil expenditure in the institutions is $456, but the figures range from less than $100 to almost $1700. For over 65% of the institutions, $500 or less was the Title I per pupil expenditure. Inclusion of funds from all sources raises the average per-pupil costs for Title I students to about $1350 (again, however, with a large range). The comparable figure for that same year in public schools was an average per-pupil expenditure of $1550. (Most of the difference between the two figures is attributable to an extremely low per-pupil expenditure in institutions for adults.)

The USOE list of State institutions eligible to receive Title I funds in 1976-77 contained 590 such facilities: 28 for neglected children, 323 for the delinquent, and 239 for adults (but serving youth under 21). Of the institutions eligible to receive Title I funding, 184 were not participating as of fall, 1976. They were often small facilities with few inmates eligible to receive Title I services (i.e., under 21 years of age and lacking a high school diploma). Nearly 1/4 of them, however, were fairly large institutions for adults, but having few residents eligible for Title I. This occurred primarily in the southeast.

Program Scope

Almost 27,000 children were receiving Title I services in State institutions in fall, 1976. Of these, 2550 were in institutions for the neglected, 16,730 in those for delinquent youth, and a little over 7560 in those for adults. This compares to an estimate of just over 51,000 as eligible to participate in the program nationwide. Eligible students are those who are younger than 21, lack a high school diploma, participate in a regular education, and are low-achievers.

The numbers of children served in 1976-77 are shown in Figure 2 below. Also illustrated there are estimates of eligible children at that time who were not being served by Title I: about 72% of the eligible neglected children in these institutions were being served by Title I, about 65% of the eligible delinquents, about 34% of the youth in facilities for adults.

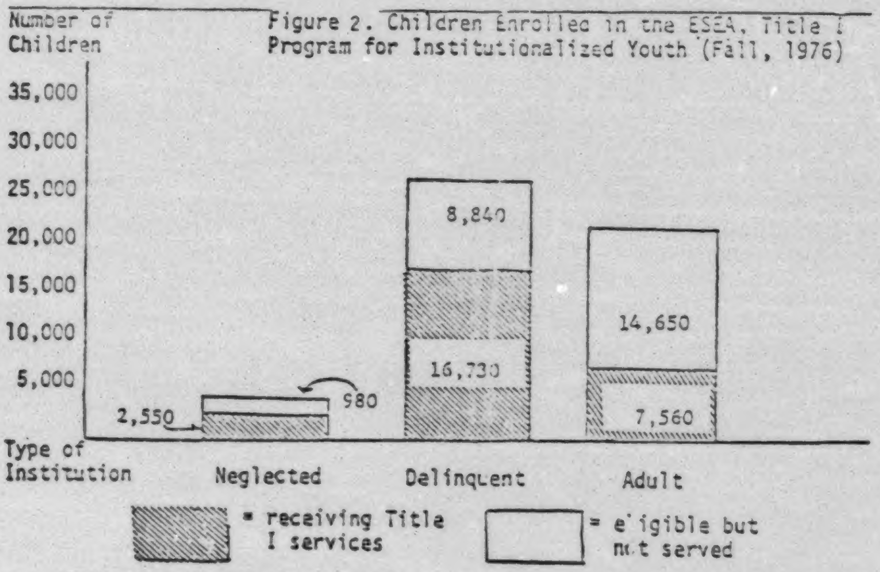


Figure 2. Children Enrolled in the ESEA, Title I Program for Institutionalized Youth (Fall, 1976)

Another way to describe the provision of services to eligible students is on a site-by-site basis. In 20% of the institutions with Title I projects, those projects were able to serve all the eligible students; 55% of the institutions served half or more of the eligible students. Most of the sites who cannot serve at least half the eligible student population are institutions for adults. 4/ (Over 60% of them report this problem--due at least in part to the rapid increase in the last few years in the numbers of youth incarcerated in these settings.)

The children participating in Title I greatly resemble those in the institutions as a whole, except, as would be expected, they are younger. With regard to sex, race, and commitment status, they are not significantly different from the general resident population. Also, their average length of stay is similar to that of the other residents: about 20 months in institutions for the neglected, about 8 months in facilities for delinquents, and about 18 months in those for adults.

The nature of Title I varies considerably from site to site according to how education, itself, is organized in the facilities. In some cases, the facility may have the appearance of a junior college campus with security concerns only slightly in evidence. In such a case, residents might be expected to live in small (10-15 person) cottages and to move freely to other buildings, such as that for classes. On the other hand, a facility with obvious, over-riding orientation toward security concerns might consist merely of a large fenced-in building with two classrooms, perhaps a shop and library, in one wing. Occasionally classes might be held in multi-purpose rooms serving as dining halls or gymnasiums (System Development Corporation, 1977.)

Education in the institutions varies considerably, and consequently, so does Title I. Participation in a Title I project can be described in terms of the needs assessment and selection processes, the actual delivery of services, and the evaluation of those services in the institutional setting. Diagnostic testing (either at the institution itself or in a State facility maintained especially for that purpose) is used most frequently to assess residents' needs and to select them for participation in Title I. This testing almost always assesses academic achievement, and may be supplemented by tests for special learning problems (in half the cases) or by inventories measuring IQ, attitudinal, or personality traits (in one-third of the cases).

4/ Note that these proportions of "eligible" children receiving services use a definition of eligibility which considers only age, lack of a high school diploma, and enrollment in a regular program. A child's actual participation depends also on his or her educational deprivation. Since results from the impact study suggest that very few of the institutionalized population can perform as well as or better than their age-level peers, however, the figures regarding unserved-but-eligible residents would be reduced only slightly.

The Title I services offered to participating children are primarily in the areas of reading and mathematics. (Over 4/5 of the projects were in one or the other, and they account for about 70% of the funds spent, on the average.) Occasionally the services also focus on cultural enrichment, social studies, other academic areas, counseling, or special education. These are viewed as supplementary services offered in addition to the institutions' regular educational programs which may be basic elementary education (in over 60% of the cases), a secondary school curriculum (again, in 60% of the facilities), preparation for a General Education Diploma (GED - over half), remedial education other than Title I (in about 85%). [5/] There is usually a distinction in the facilities between the courses in vocational education and those not--the latter being labelled in general as "academic." Title I services are most often integrated with those in the "academic" curriculum, less frequently with vocational education.

Instructional areas emphasized in reading are most frequently vocabulary, word recognition, phonetics, literal comprehension, following directions, and listening. The math curriculum shows emphasis on fundamental operations, practical math, measurement, and word problems. Materials used most often were student worksheets and audio-visual presentations (System Development Corporation, 1977).

Students in Title I classrooms spend a little over 1/3 of their time, on the average, working alone with instructional equipment (except in institutions for delinquents where the use of equipment was far less frequent). The next highest proportion of time is spent working individually with the teacher (in about 1/4 of the time on the average). Only in institutions for the neglected do Title I classes spend much time working together as whole units (about 20% of the time).

The amount of time students received instruction in Title I reading and math, as well as other subjects varied considerably but a "typical" Title I student's week in reading is one hour of Title I reading plus three and three-quarters hours of non-Title I reading.

[5/] In order to receive Title I funds, the institution must be offering a regular education program which is defined in the regulations as "classroom instruction in basic school subjects such as reading, mathematics, and vocationally oriented subjects, and which is supported by other than Federal funds. Neither the manufacture of goods within the institution nor activities related to institutional maintenance are considered classroom instruction" (Federal Register, p.14295).

However, because of what seems to be a tendency in some sites to treat Title I as an elective and cancel it frequently for field trips and other activities, as well as Title I students' own difficulties in attending the classes, this figure does not compare favorably with the amount of reading instruction received by non-Title I students: on the average, the total for a week in reading for this latter group was 4 3/4 hours.

Instructional staff in Title I projects tend to be better educated than other teachers in the institutional settings: that is, whereas almost all of them have earned at least a bachelor's degree, this is less common among the non-Title I teachers (of whom a little over 10% have no college degree). Also, nearly 2/5 of all Title I teachers have done graduate work. Their teaching experience is comparable to that of the other teachers in institutions: about 3-4 years in both correctional and non-correctional settings. They earn on the average about $12,000; the national figure for elementary and secondary teachers is about $13,000 (NCES, 1977).

Evaluation of Title I projects is required by law and most typically focuses on student achievement and attitudes, involving in almost all cases the use of standardized tests or locally developed instruments. Many people cited problems in evaluating their projects due to lack of appropriate test instruments, students' differing length of participation, and lack of staff expertise. The problems are being addressed in a national study. (See the section entitled "Ongoing and planned Evaluation Studies" and the appendix describing the implementation of Section 183 of ESEA, Title I.)

Program Effectiveness and Progress

The addition of this program to Title I in 1966 represented the first Federal effort to improve the educational experiences of children in institutions for neglected or delinquent. Just as the objectives for the program have evolved since that time from a desire to "rehabilitate the children into self-respecting citizens" to a more specific goal of remediating their special educational needs, so, too, have the services changed. As noted above, there does seem to be an emphasis on improving children's performance in the basic skills with both project personnel reports and expenditures reflecting that priority.

Impact data collected in the schoolyear 77-78 in 40 sites included test scores on specially constructed, focused instruments in reading and mathematics (used four times at six week intervals), a nationally standardized norm-referenced test (given once), and measures of self-concept (administered twice). About 1500-1700 students -- Title I and non-Title I-- were tested each time and highlights of this evaluation were as follows:

- There was not much change over the repeated testings in either reading or math: Title I students usually got about 60% of the items correct while the non-Title I students scored higher, on the average, getting about 75% of the items correct. It is important to emphasize that because the two groups differ, a strict comparison in their improvement over time in order to assess Title I is not appropriate. Rather one must adjust, as possible, for their differences at the beginning and still interpret the results (comparing adjusted scores) with caution. Even given such adjustments (analogous to a handicapping system in golf), the Title I services did not appear to improve student improvement over and above that expected due merely to a regular institutional education program. (One must also recall from the previous pages that in many cases Title I scheduling problems for the institutions or students themselves prevented their receiving as much instruction in the basic skills as their non-Title I peers; hence, a finding of no extra growth makes some sense.)

- On the nationally standardized test, Title I students (most of whom are 14-16 years old) scored, on the average, at about the same level as average fourth graders (modal age of nine years old) in public schools; non-Title I students also performed well-below their age level, scoring about the same as average fifth-graders. (System Development Corporation, 1979).

It is important to note that these are overall, national summary statements. There are some sites in the study whose students showed a different pattern than the one described above of no change. Those sites were included in an in-depth study to define what might be the most effective educational strategies in these seggings. The results will be presented in materials for dissemination to corrections personnel nationwide.

Interviews with the various people involved in Title I--the students, teachers, facility administrators, and State administrators--typically found them positive about the program. They most frequently mentioned its emphasis on individualized instruction and students' work in the basic skills as strengths (about 1/4 of the respondents). Weaknesses cited were its strict guidelines (24% of the respondents) and insufficient funding (16% of the respondents).

Ongoing and Planned Evaluation Studies

A national evaluation of the program is currently underway. The results from its first phases (to describe the program, to estimate its impacts, and to describe residents' experiences upon release from the institution) are summarized above. Later work will produce evaluation models appropriate for use by institutional and SEA personnel, describe the most effective educational practices in these sites, and describe students' experiences after release from correctional institutions.

Sources of Evaluation Data

Federal Register, "Grants to State Agencies for Programs to Meet the Special Educational Needs of Children in Institutions for Neglected Children," Volume 43, Number 65, Tuesday, April 4, 1978, pp. 14292-14296.

General Accounting Office, "Re-evaluation Needed of Educational Assistance for Institutionalized Neglected Children," Report to Congress by the Comptroller General of the United States, December 19, 1977.

National Center for Education Statistics, "The Condition of Education, 1977 Edition," Volume 3, Part 1, 1977.

System Development Corporation, "National Evaluation of Title I Progress for Neglected or Delinquent Youth in State institutions," Interim Reports for Contract 300-76-0093 with the U.S. Office of Education, Santa Monica, California, 1977.

System Development Corporation, "National Evaluation, Phase II," Report from Contract 300-76-0093, Santa Monica, California, 1979.

For further information about program operations,

Contact: Mr. Pat Mancini
(202) 245-2652

For further information about program effectiveness,

Contact: Dr. Janice Anderson
(202) 245-7875

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

ram Name:

onal Diffusion Program

slation:	Expiration Date:
e III of the Eementary and Secondary Act of , as Amended by P.L. 95-561, Section 303, and ral Education Provisions Act, section 422(a)	June 30, 1983

ing History:	Year:	Authorization:	Appropriation:
	1975	1/	$ 1,400,000
	1976	1/	1,400,000
	1977	2/	10,000,000
	1978	2/	10,000,000
	1979	3/	14,000,000
	1980	3/	10,000,000

ram Goals and Objectives:

The general purpose of Title III - Special Projects is arry out special projects: (1) to experiment with new ational and administrative methods, techniques, and practices; o meet special or unique education needs or problems; (3) to special emphasis on national education priorities; and (4) to eminate information to State and local education agencies. To fulthis purpose, the Commissioner is authorized to make grants and acts with public and private agencies, organizations, associations, tutions, and with individuals.

---

is program was formerly called the Packaging and Field Testing Program. 1975 it was under the authority of the Cooperative Research Act, P.L. 1. In 1976 it was under the authority of the Special Projects Act of L. 93-380 without a separate authorization.

e National Diffusion Network, established in 1974 under the authority ESEA, Title III, was added to the Packaging and Dissemination Program 1977. In 1977 and 1978, this program was under the authority of the ecial Projects Act, P.L. 93-380, and the General Education Provisions t, Section 422(a), with no separate authorization level.

1979, this program was renamed the National Diffusion Program. It currently under the authority of Title III of P.L. 95-561 section 303 d the General Education Provisions Act Section 422(a), with no separate thorization level.

This program is also under the authority of the General Education Provisions Act, section 422(a). One purpose of section 422(a) of the General Education Provisions Act fulfilled by this program is: to prepare and disseminate to States and school districts information concerning education programs. To carry out this and other purposes of the act the Commissioner is authorized to make contracts with State and local education agencies, other agencies and institutions, and to the general public.

A variety of activities are authorized by Title III - Special Projects; some are legislatively mandated programs, and some are discretionary projects which may be established by the Commissioner under section 303. The National Diffusion Program falls into the second category. Its purpose is to improve the quality of education by promoting the widespread dissemination and use of exemplary education practices and projects which have been certified as effective by the Education Division's Joint Dissemination Review Panel (JDRP), an OE/NIE panel that reviews individual claims of effectiveness of educational materials, practices, and projects prior to endorsement for nationwide dissemination.

The major objectives of the program are:

(1) to disseminate exemplary (i.e., JDRP approved) educational practices and projects to interested school districts and to assist education agencies in implementing the exemplary practices through the provision of materials, personnal training, and supportive services;

(2) to study alternative dissemination procedures and techniques in order to improve the way in which school districts learn about and implement exemplary projects; and

(3) to provide training and assistance in the dissemination skills required to encourage and assist interested school districts in the selection and implementation of an appropriate exemplary practice or project.

Program Operations:

Three complementary activities are funded by the program to accomplish its major objectives and to contribute to the goal of encouraging the dissemination and implementation of exemplary practices: dissemination activities; technical assistance for OE funded dissemination agents; and evaluations and studies of the dissemination, project implementation, and the school improvement process.

The dissemination component of the program has two purposes: to make educators aware of exemplary projects, and to provide personal assistance in the selection and implementation of such projects in new communities. These purposes are accomplished primarily through the National Diffusion

Network (NDN), a national delivery system designed to assist in the spread of exemplary projects. Through competitive procurement procedures, the NDN funds local developers (called Developer-Demonstrators) to provide materials, training and assistance to school districts that want to adopt their projects. Individuals (called State Facilitators) are also funded as dissemination agents to make school districts in their States aware of alternative exemplary approaches and to help interested districts identify and obtain assistance from project developers in implementing a project to meet specific local needs. The NDN disseminates a large portion of those projects approved by the OE/NIE Joint Dissemination Review Panel.

In addition to funding Developer-Demonstrator (DD) and State Facilitator (SF) projects, the NDN assists DDs and SFs in acquiring skills and developing materials to better enable them to engage in dissemination activities. Through competitive procurement procedures, two contracts have been awarded to produce materials (e.g., catalogs of exemplary projects, filmstrips and handbooks) and to provide training and assistance to those individuals managing and conducting dissemination activities.

The third type of activity supported with Program funds are dissemination related evaluations and studies. Studies are conducted to examine various activities and aspects of the dissemination, project implementation, and school improvement processes to learn from, improve upon, and provide alternatives to current Program strategies.

Program Scope:

Appropriations for this Program have ranged from $1.4 million in FY 1975 when the Program began as the Packaging and Field Testing Program, to $10 million in 1977 when the NDN became part of the Program, to $14 million in 1979. The FY 79 appropriation was allocated as summarized below:

FY 79 RESOURCE ALLOCATION

ACTIVITY	AWARDS	OBLIGATION	AVERAGE AWARD
1. National Diffusion Network		$ 11,500,000	
State Facilitators	55*	(5,250,000)	$ 95,000
Developer-Demonstrators	126**	(6,250,000)	45,000
2. Technical Assistance Units	2	1,800,000	NA
3. Evaluations and Studies	4	700,000	NA

A total of 147 projects (including those that have been packaged) are being disseminated by the NDN. These projects are distributed among the following categories:

Type of Project	Percent of Projects
Alternative Schools	7
Bilingual/Migrant Education	6
Career/Vocational Education	5
Early Childhood/Parent Readiness/Parent Involvement	13
Environmental Education	8
Organizational Arrangments/Training/Administration	5
Reading/Language Arts/Math	37
Special Education/Learning Disabilities	12
Special Interests	7

---

* All States served including the Virgin Islands, District of Columbia, Hawaii and Puerto Rico.

** Twenty-one Follow Through projects are disseminated via NDN but are not funded by this program. Thus, the total number of projects being disseminated via the NDN is 147. Packaged projects (i.e., PIPs) formerly developed under this program are also disseminated via the NDN.

In FY 1979 approximately 50 more exemplary project developers were funded compared to FY 78 awards. Facilitator projects were continued in 50 States (including the District of Columbia, Puerto Rico, and the Virgin Islands. The two technical assistance contracts providing materials, training and support services to NDN participants (i.e., Facilitator and Developer projects) were continued. Documentation of a special effort to provide ESEA Title I projects with dissemination-related assistance and training was concluded, and a study of the dissemination and implementation of packaged projects via the NDN was completed.

Three additional studies were initiated in FY 1979: A Study of How School Districts Use Evaluation for School Improvement; an Assessment of NDN's Technical Assistance Activities; and the Development of Evaluation Models for ESEA Title VII Bilingual Education Projects. Finally, one study initiated in FY 78, A Study of Dissemination Efforts Supporting School Improvement, was expanded to provide for the examination of a broader array of Education Division efforts.

Program Effectiveness and Progress:

Earlier studies as well as recent evidence indicate that the National Diffusion Program has been successful in causing many school districts to attempt implementation of exemplary education practices and that there is substantial educator interest in the types of services being provided by the Program. The demand for NDN services continues to be great, and over 7,000 local sites are estimated to have initiated implementation of NDN's exemplary projects since its creation in 1974. Many of these are reasonably faithful implementations of the original projects, although some adaptation to local conditions has typically been necessary. While there is little evidence available to indicate such adoptions have resulted in improved student learning in the new communities, there appears to be considerable satisfaction with the adopted projects. In addition, the NDN has expanded its operations and has begun to take some new directions. Each of these issues is discussed in greater detail in the following paragraphs.

Spread of Exemplary Projects:

Based upon an earlier evaluation of the NDN (Emrick, 1977), and figures compiled from funded NDN projects it is estimated that over 7,000 school districts are attempting to implement exemplary projects. More than 60,000 educators have received training to implement NDN projects and approximately one and one-half million students have been served by the projects adopted in new sites. In addition, a special effort to disseminate exemplary ESEA Title I projects via the NDN in 1978 yielded over 400 adoptions of the 21 Title I projects.

Fidelity of Project Implementation:

The earlier NDN evaluation reported that projects being implemented via the NDN were reasonably faithful to developer specifications. However, this and more recent evidence (Campeau, 1979) indicates that some amount of adaptation to local circumstances is required during implementation. An implementation study just completed (Campeau, 1979) suggested that the following steps might be taken to improve the likelihood that adopters will implement key features of the exemplary projects:

- Work toward getting project developers to better define key features of their projects.
- Increase developer resources for training and monitoring at adoption sites.
- Ensure agreement between project characteristics emphasized by implementation materials and those emphasized by dissemination agents.

User Satisfaction:

Results from studies conducted over the last four years (Emrick, 1977, Stearns, 1977, Campeau, 1978) indicate that user satisfaction with the services and materials provided by the NDN and with the projects adopted continue to be high. Developers and Facilitators have illustrated a great deal of enthusiasm about their programs and the services they provide to educators. The evaluation of NDN (Emrick, 1977) reported that this enthusiasm seems to transfer to the adopting districts.

Effectiveness:

To date, relatively little information regarding project impact on student achievement is available from adopters of the exemplary projects disseminated via the NDN.* For some time NDN participants and program managers have agreed that the educational outcomes of projects implemented through the efforts of this Program is an area that needs to be examined. Accordingly, evaluation activities have received increasing emphasis in the NDN and participants are now beginning to collect data from adopters of NDN programs.

---

* The only analysis of the impact of adopted projects on the achievement growth of participating students was conducted in an earlier study (Stearns, 1977) for six packaged projects (i.e., PIPs) in 19 sites. The study found that in most adopting sites students' achievement increased somewhat but not in the same magnitude as the gains frequently achieved at the originating site.

Program Changes:

In FY 1978 and 1979 the NDN began to expand its operations and take some new directions. First, the number and types of projects funded for dissemination were increased. The funding competition has been expanded from elementary and secondary programs to encourage all programs served by USOE to submit exemplary projects for inclusion in the NDN. In addition, the competition has been expanded to allow submission of certain programs developed by nonprofit organizations and institutions without the use of federal funds. Second, NDN has become the primary vehicle for Follow Through, Title I, and Project Information Package (PIP) dissemination efforts. Third, a greater emphasis has been placed on evaluation concerns. NDN participants are increasing efforts to assess: (1) the effectiveness of their activities and services; and (2) the outcomes of project implementation at local adopter sites. Finally, greater emphasis and resources have been focused on providing funded disseminators (Facilitator and Developer projects) with the training, materials and support they need to better perform their functions.

In summary, the four years of experience of this program, combined with the results of early evaluations, led to significant changes in program strategies. The preparation of materials to guide project implementation has been folded into NDN operations, the NDN has expanded its scope and project offerings, the importance of technical assistance and training for dissemination agents and for individuals who choose to adopt and implement exemplary projects has been underscored, and the importance of examining strategies and operations for improvement through the conduct of studies and evaluations has been realized as an integral component of the dissemination and school improvement process.

Ongoing and Planned Evaluation Studies:

Evaluation of Bilingual Project Implementation via Project Information Packages

This study examines the process by which bilingual projects are implemented in new sites through the use of packaged materials and the problems related to evaluating student outcomes. The study is being conducted by RMC Research Corporation. (Project completion date: December 1979).

Study of Dissemination Efforts Supporting School Improvement

The purpose of this study is to examine the process of school improvement and the dissemination strategies at the Federal and State level in order to determine what roles Federal and State dissemination activities play in the process and to determine ways in which dissemination activities should be conducted in the future. The study is being conducted by the NETWORK of Andover, Massachusetts. (Project completion date: December 1981).

A Study of How School Districts Use Evaluation for School Improvement

This study will investigate local evaluation efforts that have successfully used evaluation to improve practices, determine the conditions that foster the use of evaluation, formulate a strategy for bringing about more widespread improvement of local level evaluation practices and recommend what steps or activities OE should consider to address this goal. (Project initiation date: September 1979).

Assessment of NDN's Technical Assistance Activities

This study will assess current activities designed to provide assistance to individuals managing and conducting dissemination efforts. The purpose of the study will be to provide OE with recommendations to improve the nature and delivery of such assistance to more adequately meet the needs of disseminators. (Project initiation date: August 1979).

Development of Evaluation Models for ESEA Title VII Bilingual Education Projects

This study will address the legislative need of Bilingual Education Projects to demonstrate their project effects on participating students. The purpose of the study will be to devise procedures that can be employed by local sites in assessing project effects and to develop a system to disseminate and bring about the implementation of the evaluation procedures in local Bilingual Project sites. (Project initiation date: September 1979).

Sources of Evaluation Data:

Berman, P., and M. W. McLaughlin, et al., *Federal Programs Supporting Educational Change*. Volumes 1 - 7, Santa Monica, California: The Rand Corporation, 1975 and 1977.

Campeau, P. L., *Packaging as a Strategy for Improving the Process of Diffusing Educational Projects*. Paper presented at the annual meeting of the American Education Research Association, New York City, April 4 - 8, 1977.

Campeau, P. L. et al., Final Report: *Evaluation of Project Information Package Dissemination and Implementation*. Palo Alto, California: American Institutes for Research, January 1979.

Emrick, J. A., *Evaluation of the National Diffusion Network*, Vols. 1 and 2, Menlo Park, California: Stanford Research Institute, 1977.

Foat, C. M., *Selecting Exemplary Compensatory Education Projects for Dissemination via Project Information Packages*, Technical Report UR-242, Mountain View, California: RMC Research Corportation, 1974.

Harris, S. L., et al., *Preparing for Dissemination: A Study of Technical Assistance for Developer-Demonstrator Projects in the NDN*, Andover, Massachusetts: The NETWORK, Inc., 1979.

Horst, D. P., A. M. Piestrup, C. M. Foat, and J. L. Binkley, *Evaluation Recommendations for Revisions*. Mountain View, California: RMC Research Corporation, 1975.

Norwood, C. H., *Evaluation of the Field Test of Project Information Packages Volume II Technical Report*, Menlo Park, California: Stanford Research Institute, 1977.

Piestrup, A. M., *Design Considerations for Packaging Effective Approaches in Compensatory Education*. Technical Report UR-241, Mountain View, California: RMC Research Corporation, 1974.

Stearns, M. S., *Evaluation of the Field Test of Project Information Packages: Volume I-Viability of Packaging*. Menlo Park, California: Stanford Research Corporation, 1975.

Stearns, M. S., *Evaluation of the Field Test of Project Information Packages: Volume I-Summary Report*. Menlo Park, California: Stanford Research Institute, 1977.

Tallmadge, G. K., *The Development of Project Information Packages for Effective Approaches in Compensatory Education*. Technical Report UR-254, Mountain View, California: RMC Research Corporatiion, 1974.

For further information about program operations,

Contact: Lee Wickline
(202) 245-2257

For further information about studies of program operations,

Contact: Ann Bezdek
(202) 245-7997

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Correction Education Program

Legislation:

The Correction Education Demonstration Project Act of 1978 (Sections 371-374 of Title III of P.L. 95-561).

Expiration Date:

September 30, 1983

Funding History	Year	Authorization	Appropriation
	1979	$5,000,000	-0-
	1980	5,000,000	-0-

Program Goals and Objectives

The Correction Education Demonstration Project Act authorizes grants to State and local education agencies, institutions of higher education, and other public and private nonprofit agencies, organizations, and institutions for demonstration projects relating to the academic and vocational education of antisocial, aggressive, or delinquent persons, including juvenile delinquents, youth offenders, and adult criminal offenders.

Program Operations

A discretionary grant program is authorized to support demonstration projects relating to academic and vocational education for various categories of offenders. No funds were appropriated for the program in fiscal year 1979 and funds have not been requested for fiscal year 1980. Proposed rules for the program have been published. Under the proposed rules, the program will operate as follows.

- Correction education defined

Correction education is education to meet the special educational needs of offenders--needs for individualized instruction and for a high level of supportive services, including transitional services, that enable offenders who have been incarcerated to adjust to the community. Correction education also refers to any education provided within a correctional facility--a prison or a juvenile training school.

- Areas of need

Applications will be invited that focus on effective strategies to respond to these areas of need identified by the Office of Education:

-- Community-based corrections programs

-- Transition programs between correctional institutions and the community

-- Provision of the necessary range of services to clients in community-based correctional facilities by State and local education agencies and institutions of higher education.

-- Effective correction education programs for incarcerated offenders that integrate academic and vocational education with necessary supportive services to enable the offender to take best advantage of the education and training.

-- The coordination of resources of a variety of public and private agencies to provide services to offenders and ex-offenders

- Grant duration

Multi-year support of up to three years may be applied for to support a project. In proposals for multi-year support, applicants must demonstrate increasing levels of local support after the first project year.

- Program strategy

The program will seek out promising demonstration projects. Funds for validation of project effectiveness will be provided in the second or third continuation years of projects that receive multi-year funding.

- National conference

A national conference and workshop will be called in each year of program operation. Staff of projects will be invited.

- Project evaluation

Projects must include an evaluation component that determines whether a project met the special educational needs of the offender group served, including information on whether the offenders learned a vocational skill or obtained a job.

Program Scope

This program has not been funded. Since the authorization is set at $5 million, funds would be directed toward projects with other resources available to them and could be used to support innovative components of new or established projects.

Program Effectiveness and Progress

The program has not been operational to date.

Ongoing and Planned Evaluation Studies

Any plans for evaluation studies will be developed when the program becomes operational.

Sources of Evaluation Data

None.

For further information about program operations,
Contact: Dr. James M. Spillane (202) 245-7292

For further information about studies of program effectiveness,
Contact: Dr. Janice K. Anderson (202) 245-7875.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

School Libraries and Instructional Resources

Legislation:	Expiration Date:
Title IV, Part B of the Elementary and Secondary Education Act of 1965, as amended by P.L. 95-561	FY 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION 1/
	1975	$350,500,000	$137,330,000
	1976	Indefinite	147,330,000
	1977	Indefinite	154,330,000
	1978	Indefinite	167,500,000
	1979	Indefinite	180,000,000
	1980	Indefinite	171,000,000 2/

Program Goals and Objectives:

ESEA Title IV, Part B, is a formula grant program in which three categorical programs were consolidated to provide State education agencies with more flexibility in the use of appropriated funds. The three programs consolidated are School Library Resources, ESEA, Title II; School Equipment and Minor Remodeling, NDEA, Title III; and the Guidance, counseling, and Testing portion of ESEA, Title III.

The purpose of this program as specified by the legislation are acquisition of school library resources, textbooks, and other instructional materials; instructional equipment for use in the academic subjects, and minor remodeling; guidance, counseling, and testing programs for students in elementary and secondary schools; and programs, projects, and leadership activities to strengthen guidance and counseling services. Funds are available to State education agencies for administration of the program.

For FY 1980, guidance, counseling, and testing activities have been removed from this consolidation, since Congress has provided a separate appropriation under the new authority of ESEA Title IV, Part D.

1/ Program is advance funded; amount appropriated in one fiscal year is available the next fiscal year.

2/ Excludes $18,000,000 for Guidance, Counseling, and Testing, appropriated separately in 1980 under the authority of Title IV, Part D.

Program Operations:

Program funds are allocated to each State from the amount appropriated to carry out Part B in an amount which bears the same ratio to the total as the number of children aged 5 to 17, inclusive, in the State to the number of such children in all the States. The State is required to distribute these funds among local education agencies (LEA's) according to the enrollments in public and nonpublic schools within the school districts of such agencies, except that substantial funds will be provided to (1) LEA's who have a substantially greater tax effort for education than the State average, but whose per pupil expenditure is no greater than the State average, and (2) LEA's which have the greatest proportions of children whose education imposes a higher average cost, e.g., low-income children, rural children, and children from families in which English is not the dominant language. Local education agencies are given complete discretion (subject to provisions for equitable participation by private school children) in determining which Part B program purposes they will fund. SEAs provide technical assistance on program development and monitor projects for program compliance.

Program Scope:

The 50 States, District of Columbia, Puerto Rico, American Samoa, Guam, The Northern Mariana Islands, Trust Territory of the Pacific Islands, Virgin Islands, and the Department of the Interior (for children and teachers in elementary and secondary schools operated for Indian children by the Bureau of Indian Affairs) had ESEA Title IV program plans approved by the Commissioner of Education for fiscal year 1979; 16,376 local education agencies had approved Part B projects in fiscal year 1978.

Program Effectiveness and Progress:

The following table contains preliminary data showing expenditure of Part B funds in fiscal years 1976, 1977, and 1978.

	1976	1977	1978 1/
School Library Resources and Other Instructional Materials, Textbooks	$31,086,332 (58.2%)	$70,987,616 (56.2%)	$35,320,427 (54.4%)
Equipment and Minor Remodeling	$16,327.179 (30.5%)	$41,037,683 (32.5%)	$20,246,089 (31.2%)
Guidance, Counseling, and Testing	$ 6,042,908 (11.3%)	$14,218,428 (11.3%)	$ 9,333,618 (14.4%)
Total	$53,456,419(100.0%)	$126,243,727(100.0%)	$51,899,298 (100%)

1/ Most current available data based on 27 States.

The following information for FY 78 indicates program effectiveness and progress:

- Average per pupil expenditure is $3.56 overall
- An average of $5.44 per child serves 7,000,000 low income children
- An average of $6.49 per child serves 901,418 rural school children
- Funds enable LEAs to use new technologies such as microcomputers, video taping systems, and video discs
- Funds have assisted in increasing the number of books in public school library media centers.

The ESEA Title IV-B program has a requirement that the aggregate of State, local, and private school expenditure for IV-B purposes in the preceding year equal those of the second preceding year. There is a provision for waiver of the requirement under certain circumstances. No waiver has been requested since 1977 when Guam requested and received a waiver.

Private school children were able to participate equitably in the program because of the special efforts made by State and local educational agencies and State Title IV Advisory Councils. In FY 1979, an estimated 41.2 million public and 4.3 million private school children participated in the program.

The U.S. Catholic Conference testified that parochial school officials rate this program as the most equitable and the fairest in providing services and benefits to private school children. It is estimated that the percentage of funds expended for Part B benefits to private school children - 7% of the total Part B allocation - corresponds roughly with the percentage of eligible private school children in the school population.

A current study begun in FY 1978 examined the implementation and management of the program. The preliminary findings show:

- ESEA Title IV-B is a popular program that impacts on many students at a small per pupil cost
- LEA personnel are operating Part B projects of good quality and targeting funds well
- SEA personnel report that IV-B is operated with a minimum of paperwork and that it has increased LEA flexibility to address local priorities.

A preliminary analysis of funding mechanisms and their effect on rural areas reports that ESEA Title IV-B funding formulas are operating to provide rural areas with at least a proportional share of Federal funds and in most cases somewhat more.

Ongoing and Planned evaluation Studies:

A process and management study of consolidated programs under ESEA Title IV was initiated in Fiscal Year 1978 under contract to the Rand Corporation. A final report will be completed and available in Fiscal Year 1980.

Sources of Evaluation Data:

Elmore, R. F. and McLaughlin, M. W., ESEA Title IV: Implementation Issues and Research Questions. The Rand Corporation, Santa Monica, California, 1978. (preliminary report).

Bass, G. and Berman, P., Funding Mechanisms and Their Effect on Rural Areas: Analysis of Two Federal Programs. The Rand Corporation, 1979.

House Report No. 95-1137, 95th Congress, 2d. Session.

ESEA Title IV Annual Reports.

For further information about program operations,

Contact: Dr. Milbrey L. Jones
(202) 245-2488

For further information about studies of program effectiveness,

Contact: Arthur S. Kirschenbaum
(202) 245-8380

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Educational Improvement Resources and Support:
Part C--Improvement in Local Educational Practice

Legislation:

Title IV, Part C of the Elementary and Secondary Education Act of 1965, as Amended by P.L. 95-561

Expiration Date:

September 30, 1983

Funding History:

Year	Authorization	Appropriation 1/
1976	$350,000,000	$184,521,852
1977	Indefinite	194,000,000
1978	"	197,400,000
1979	"	197,400,000
1980	"	197,400,000 2/

Program Goals and Objectives:

ESEA Title IV, Part C is a State formula grant program to strengthen the quality of elementary and secondary education through support of locally initiated projects and activities. In 1979, the program operated under authority of the Education Amendments of 1974, and took the place of four, former categorical programs: 1) supplementary educational centers and exemplary school programs serving as models for regular school programs; 2) resources to strengthen the staffs of State and local educational agencies; 3) demonstration projects to reduce school dropouts, and 4) demonstration projects to improve school nutrition and health services in schools with high concentrations of children from low income families.

The Education Amendments of 1978 repealed these former categorical provisions and provided Part C with its own list of authorized activities. The development and demonstration thrust of the program was continued, as was the authority of the States to set their own priorities within a wide range of activities.

1/ Program is advance funded from prior year's appropriation. The year shown is the year of appropriation. Funds include $51 million set-aside for Strengthening State Educational Management, activities which, beginning in 1980, can also be funded separately under ESEA V-B.

2/ House and Senate Conference level; no appropriation at time of writing.

Authorized activities include programs aimed at children with "special needs," private school children, and schools with high dropout rates. Other activities include those to improve children's basic skills, encourage parental participation, diagnose learning problems, assess achievement of children, improve school management and coordinate all resources available to schools, provide early childhood and family education; foster the educational use of community resources, and develop and demonstrate improved compensatory education programs.

Program Operations:

From the total amount available for Title IV, Part C, the Commissioner of Education allots to each State an amount proportionate to the number of children age 5-17 in the State, as compared with the total number of children in all of the States. (The term "State" as used here includes the District of Columbia and the Commonwealth of Puerto Rico.) Up to one percent of the amount available under Title IV, Part C, may be reserved for Guam, American Samoa, the Virgin Islands, Trust Territory of the Pacific Islands, for schools operated for Indian children by the Department of the Interior, and for children in the overseas dependents schools operated by the Department of Defense.

To receive a grant, each State educational agency and other eligible beneficiary is required to submit an annual program plan conforming to the statutory requirements which, when approved by the Commissioner of Education, serves as an agreement between the applicant and the Office of Education. 4/ The plan must be submitted for comments to the Office of the Governor and have been reviewed by a State Advisory Council.

Each SEA is required by the statute to appoint a State Advisory Council (SAC) broadly representative of the cultural and educational resources of the State. The SAC's responsibilities include:

(1) advising on the preparation of, and policy matters arising in the administration of, the State plan, including the development of criteria for the distribution of funds and the approval of applications from LEAs:

(2) evaluating all programs and projects assisted under Title IV;

4/ The Education Amendments of 1978 requires that a State Plan be filed not more often than once every three years.

(3) preparing at least annually and submitting through the the SEA a report of its activities, recommendations, and evaluations, together with such additional comments as deemed appropriate, to the Commissioner. 5/

Up to 15 percent of the funds or the amount allocated to the State for these activities in Fiscal Year 1973, may be used for strengthening State and local education agencies. Up to 5 percent of the combined Parts B and C allocations, less the amount used for "strengthening" activities, or $225,000, whichever is greater, may be used for State program administration of Parts B and C. 6/ Remaining funds in Part C support State discretionary grants to local school districts for projects in priority areas determined by the States within the purposes of the law. States are directed to provide technical assistance to small districts to assure their participation on an equitable basis. Fifteen percent of the available funds must be used for programs or projects directed to education of handicapped children. In applying for funds, LEAs must consider children and teachers in non-public schools in their districts on the same basis as children in public schools.

In monitoring the operation of Title IV in the States, Office of Education teams, consisting of both Parts B and Part C staff, conduct reviews of State administration of the program. These reviews are designed to go beyond compliance checks and determine progress in remedying shortcomings disclosed in prior reviews. The reviews have shown that State departments of education have given priority attention to their responsibilities to aid local school districts in developing Title IV-C projects. They have reorganized their staffs or reassigned duties to accomplish the purposes of Title IV. The virtually universal pattern is a top-echelon official of the department supervising a Title IV coordinator, a Part B and a Part C specialist, a disseminator and a facilitator, assisted by other personnel and services of the department.

The schedule for the reviews includes time for the team members to visit and observe LEA projects and to discuss with LEA and project personnel the nature and quality of services rendered by the SEA under Title IV. In line with this, USOE's Division of State Educational Assistance programs is developing a means of providing the SEAs with technical assistance toward better administration, particularly in improving their services to LEAs, to their State legislatures, and to their Governors. A pilot review with such an orientation has been conducted in Colorado, and two other State agencies are cooperating to refine the review process, called the Educational Services Review. One of the goals in this process is to improve the ability of SEAs in promoting the adoption of successful, validated projects.

5/This report is now required every three years under provisions of the Education Amendments of 1978.

6/The "strengthening" component is authorized as a separate, categorical program (V-B) beginning in Fiscal Year 1980. If not funded under V-B, however, the same activities can be funded under IV-C.

Program Scope:

In the 1979 program year, more than 3,600 local projects were funded by the States through competitive awards to local education agencies. Project participants included 7.3 million public and 1.2 million private school children.

Of the total appropriations of $197.4 million, $137.4 was budgeted as "pass-through" funds to be distributed to local education agencies by the State agencies. The remainder, $60 million, was for State program administration and activities to strengthen State education agencies. More than half these funds were used by the States to provide technical assistance services to local education agencies.

Grants ranged in size from $215 thousand to American Samoa to over $17 million to California. Funds were used at the local level for a variety of projects to develop new approaches in the classroom and to support demonstration projects to train other local education agencies in how to adopt and install successful practices. A substantial part of the funds were used by school districts to replicate those validated successful practices. Projects were funded in various curriculum areas, including basic skills development, career education, and the arts. Other areas receiving substantial support included career education, early childhood education, guidance and counseling services, instructional media development, and staff development. The following table, based upon incomplete State reports, gives estimates of how funds are distributed among various activities:

Activities or Target Group	Estimated Funds (Millions)
Strengthening State Educational Management	$ 51.0
Reading	9.8
Math	8.9
Language Arts	1.9
Arts	5.3
Science	1.3
Social Studies	2.8
Physical Education	2.8
Special Education	23.7
Career Education	5.3
Environmental Education	2.8
Early Childhood	1.3
Parent Education	1.3
Community Education	2.8
Gifted	5.4
Guidance and Counseling	6.8
Dropout Prevention	4.0
Nutrition and Health	2.7
Multi-lingual	2.7
Self Awareness	1.3
Human Relations	2.7
Development of Curriculum Materials	2.7
Classroom Management Techniques	12.3
Staff Development	9.6
Dissemination of Effective Programs	4.0
Supplementary Services and Centers	4.1
Educational Planning and Management	8.2
Miscellaneous	2.7
Program Administration	7.2
Total	146.4

For "strengthening State education agencies," the law permits the SEA to use the greater of 15 percent of the Part C allocation, or the amount allocated to it in Fiscal Year 1973 for strengthening, or $225,000, whichever is greater. SEAs used about 70 percent of these funds for salaries for about 1,800 persons (full-time equivalent). About 10 percent of the funds were used for contracted services and about 20 percent for equipment, training, travel and printing.

For administration of Title IV, the SEAs deployed staff in this way:

	Professional	Non-Professional	Total
Part B	389	320	709
Part C	448	333	781
Total	837	653	1,490

Program Effectiveness and Progress:

In its fourth year as a consolidated program, States generally had no particular problems in administering Part C. A preliminary report of an evaluation of Title IV found that:

- For Part C, the transition from the previous categorical to the consolidated mode was not too difficult due to the similarities with ESEA Title III and Title V, the largest components of the consolidation.
- The single application requirement for Parts B and C created difficulties because of the different nature and funding cycles of a formula grant (Part B) and a discretionary grant (Part C) program.
- There was a wide variation in the support and role of State Advisory Councils. In particular, the role of the Councils in relation to the ESEA Title V type activities in Title IV (strengthening State education agencies) was difficult to define.
- There is need for specific language unique to the program, rather than adopting by reference provisions of the previous categorical programs.

This program has been a major contributor to the development, validation, dissemination and replication of new kinds of activities to improve school programs and an important source of support for State education agency staff and operations. In many States it is the prime source, and in some the only source of funds for State support of local innovative projects. The set-aside for strengthening State education agencies has supported planning and evaluation, assessment, curriculum development, training, and dissemination activities that provide direct services to local districts.

The Education Amendments of 1978 made major changes to Part C, effective in Fiscal Year 1980. First, the consolidation provisions, adopting program purposes from previous categorical programs, were replaced with a unique set of goals and purposes for Part C, and a new title, "Improvement in Local Educational Practice," was adopted. Funds for strengthening State education agencies were authorized separately, with a separate State plan required for these activities. Applications will be required every three years, instead of annually, as will reports of the State Advisory Councils. More stringent requirements for assuring participation of children in nonpublic schools were adopted. Other provisions authorize activities to develop and demonstrate innovative compensatory education programs and projects to improve school-site management and coordination of education programs. A five year limit beyond an initial planning grant was adopted, and a phase-in of local support for projects in the last two years of funding will be required.

Those changes in the authorizing legislation were adopted in response to findings and recommendations of evaluation reports, program experience and information gathered in the program's State Management Reviews, and recommendations from the education community.

Ongoing and Planned Evaluation Studies:

A Process and Management Study of Consolidated Programs Under ESEA Title IV was initiated in Fiscal Year 1978 under contract to the Rand Corporation. An interim report, ESEA Title IV: Implementation Issues and Research Questions, was submitted to the Congress during authorization hearings for the Education Amendments of 1978. A final report, based on surveys and field site visits, will be completed in Fall 1979. It will include information on how program funds are spent and how the program is being implemented, changes in administrative behavior motivated by program requirements and guidelines, Title IV policy effects, and State level factors that affect Title IV implementation. Corollary factors at the local level are also being examined. Findings are expected to be useful to the program managers and in future considerations of Federal policy in respect to State administered programs.

A study is planned beginning in 1980 to review the implementation of new provisions of Part C, to establish program expectations of managers and policy-makers, establish measures of progress, and define existing or potential data sources for such measures.

Sources of Evaluation Data:

Berman, P., and M.W. McLaughlin, Federal Programs Supporting Educational Change," The Rand Corporation, Santa Monica, California, 1977.

Elmore, Richard F. and M.W. McLaughlin, ESEA Title IV: Implementation Issues and Research Questions. The Rand Corporation, Santa Monica, California, 1978.

ESEA Title IV State Annual Reports.

ESEA Title IV State Program Plans.

For further information about program operations,

Contact: Dr. Al White
245-2952

For further information about studies of program effectiveness,

Contact: Pen Jackson
245-8857

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Emergency School Aid Act (ESAA)

Legislation:

Title VI of the Elementary and Secondary Education Act as amended by the Education Amendments of 1978 (P.L. 95-561)

Expiration Date:

September 30, 1983

Funding History:	Year	Authorization	Appropriation
	1973	$1,000,000,000	$228,000,000
	1974	Total of $1,000,000,000 for FY 74-76	236,000,000
	1975		215,000,000
	1976		245,000,000
	Transition Quarter		3,000,000
	1977	Total of $1,000,000,000 for FY 77-79	257,500,000
	1978		300,500,000
	1979		300,000,000
	1980	422,250,000	269,623,000

Program Goals and Objectives

In June of 1972 the Emergency School Aid Act (ESAA) was enacted into law to provide financial assistance: "(1) to meet the special needs incident to the elimination of minority group segregation and discrimination among students and faculty in elementary and secondary schools; (2) to encourage the voluntary elimination, reduction or prevention of minority group isolation in elementary and secondary schools with substantial proportions of minority group students; and (3) to aid school children in overcoming the educational disadvantages of minority group isolation."

ESAA has eight active subprograms, three are State apportionment programs (Basic Grants, Pilot Projects, and Nonprofit organization grants) and five are nationally competitive programs (Special Projects, Bilingual Projects, Educational Television, Magnet Schools, and Evaluation). Special Projects includes about a dozen programs, such as Emergency Special Projects. 1/

1/ Starting in FY 1980, there will be only one State apportionment program (Basic Grants) and six active nationally competitive programs (Special Projects, Nonprofit Organizations, Educational Radio and Television, State Desegregation Projects, Follow-the-Child, and Local Desegregation Planning). Pilot Projects are repealed at the end of FY 1979, Magnet Schools becomes a part of Special Projects, and Bilingual Projects are transferred to Title VII, ESEA.

Basic Grants provide assistance to local education agencies (LEAs) for up to fifteen authorized activities if they are "directly related to, and necessary to, the implementation of /an eligible desegregation/ plan."

Pilot Project grants are awarded to LEAs for projects designed to overcome the adverse effects of minority group isolation by improving the academic achievement of children in minority group isolated schools. To be eligible for a Pilot grant an LEA must have a plan which would make it eligible for a Basic grant and must have a substantial enrollment of minority group students.

Nonprofit Organization grants to nonprofit groups (except LEAs) are authorized to support the implementation of an eligible desegregation plan.

The nationally competitive programs provide more specialized assistance. Bilingual grants are awarded to LEAs in which minority children do not receive an equal educational opportunity due to language and cultural differences. One technique for school desegregation--magnet schools--is supported as a separate ESAA subprogram. Emergency Special Projects awards are for LEAs which adopted voluntary desegregation plans or received court ordered plans too late in the school year to apply for an ESAA award during the regular funding cycle. Two types of ESAA national awards tend to be received by specialized organizations, not LEAs. Educational Television contracts are awarded for integrated children's television programs. Evaluation contracts assess the programs assisted under ESAA.

Program Operations

ESAA is a large discretionary program. Sums annually appropriated for Basic, Pilot, and Nonprofit Organization grant categories are apportioned to States on the basis of the ratio of their number of minority group school-aged children to the number of such children in all States.

Applications are made directly to the Office of Education in Washington. There are three main types of desegregation plans which establish district eligibility for Basic Grants. 2/ Only districts with a minority enrollment greater than 15,000 or 50 percent of the total enrollment are eligible for Pilot grants. The Office for Civil Rights determines whether each district has an eligible desegregation plan and meets other civil rights compliance standards specified in the Act.

2/ In brief, Basic Grants may be awarded to any LEA which: (a) is implementing a required plan or has adopted and will implement a nonrequired plan if assistance is made available; or (b) has a plan to enroll non-resident children in its schools to reduce minority group isolation; or, (c) in the case of districts with minority group student enrollments exceeding 50 percent, is establishing or maintaining at least one integrated school.

Applications are scored on the basis of need and quality. Need is measured by a statistical score based upon the size of the minority enrollment and the decrease in minority student isolation after the implementation of the desegregation plan. The quality score, determined by a panel, rates the objectives, activities and other dimensions of the detailed applications. Each application receives a total score which is the sum of the statistical and quality scores.

For the three State apportionment programs, applicants are ranked by total score and funded in rank order until the State apportionment for the program is exhausted. 3/ A national ranking (rather than separate State rankings) is used for the national competition awards. Funded projects are monitored by ESAA program officers. 4/ Local project reporting consists of financial reports, quarterly progress reports, final reports, and a final evaluation report.

Program Scope

The table below shows the distribution of ESAA resources for FY 1978 awards:

Program	No. of Applicants (1)	No. of Awards (2)	Percent of Applicants Funded (3)	Amount Obligated (thousands) (4)	Percent of Obligations (5)	No. States served (6)
Basic	637	493	77	$155,387	54	45
Pilot	262	161	61	32,234	11	37
Nonprofit	416	175	42	17,071	6	43
Special	145	99	68	52,055	18	39
ETV	57	8	14	7,050	2	N/A
Bilingual	69	29	42	8,905	3	7
Magnet Schools [a]	61	39	64	14,754	5	20
Evaluation	N/A	7	N/A	1,996	1	N/A
Total	1,647	1,011	61	$289,452	100%	45

(a) Also includes University Business Cooperation and Neutral Site Plan awards.

3/ This process is conducted in two cycles which allows unsuccessful applicants to revise and resubmit their applications. Funds remaining may be re-apportioned to other States during the second cycle.

4/ For ESAA evaluation contracts, technical responsibilities are delegated to the Office of Evaluation and Dissemination.

The table of FY 78 awards shows that six of every 10 applicants (1,011 out of 1,647) were funded. The percentage of applicants funded was highest for the Basic Grants program where 77 percent of applicants were funded (column 3). Competition for awards was greatest in the ETV program, where only 14 percent of applicants were funded. Overall, there was slightly more competition than in FY 77 when 67 percent of applicants were funded.

The largest ESAA program is Basic Grants, which accounted for $155 million or 54 percent of the total ESAA obligations (columns 4 and 5). Special Projects account for 18 percent and Pilot Projects 11 percent of the total ESAA obligations. The three State apportionment programs--Basic, Pilot and Nonprofit Organization awards--account for 71 percent of all funds. The largest change from FY 1977 to 1978 was for Magnet schools obligations, which increased by 100 percent (not shown in table)

Most expenditures for two of the larger ESAA programs--Basic Grants and Pilot Projects--are for salaries. In schools receiving ESAA funds, ESAA accounted for roughly one-fourth of all per-pupil expenditures at the elementary level and eight percent of total expenditures at the Basic secondary level. About 70 percent of ESAA dollars in Basic and Pilot elementary schools are used for basic skills instruction.

Program Effectiveness and Progress

The effectiveness of ESAA is substantially reduced by problems related to the targeting of ESAA Basic and Pilot program funds. ESAA tends to assist communities that desegregated their schools several years ago. This fact suggests that funds are not greatly needed in some districts and that the activities supported are not closely linked to desegregation problems.

Targeting. A General Accounting Office 1978 report, *Better Criteria Needed for Awarding Grants for School Desegregation,* concludes that the State apportionment formula is a basic problem with ESAA. The formula does not necessarily allot the funds based on actual need for assistance. The number of minority students in a State may have little or no relationship to its desegregation needs.

An OE-sponsored evaluation report, *An Assessment of ESAA Program Operations,* also notes that the State apportionment formula is unrelated to desegregation needs. This study notes that the formula is unable to provide adequate funds for newly desegregating large urban school districts. ESAA Special Project grants, which are not subject to the State apportionment formula, have been used recently to fund or to supplement State Apportionment funds for such districts. These Special Project funds have helped compensate for inadequacies in the formula.

GAO also finds that school districts have been allowed to use ESAA funds for general education assistance and compensatory education rather than desegregation assistance. GAO suggests several causes:

- ESAA regulations allow funding school districts with planned desegregation efforts which were completed years ago.

- Activities have been supported which were not directly related or necessary to the implementation of a desegregation plan.

- Funds have been provided to support activities in schools which were not affected by the districts' desegregation plans.

Other studies confirm the GAO findings on the funding of old desegregation plans. The report, An Assessment of ESAA Program Operations, found that in FY 77, 70 percent of ESAA Basic grants were to districts that implemented a desegregation plan prior to 1973. Another OE sponsored study found that over half of the FY 77 ESAA Basic and 40 percent of the Pilot grants in Region II (New York and New Jersey) were awarded to districts which desegregated prior to 1969. Nationally, only 6.3 percent of districts with Basic grants implemented a desegregation plan within the previous two years.

The Region II study, The ESAA Basic and Pilot Program in Region II, is similar to the GAO report in its finding on the relevance of ESAA-funded activities to the implementation of a desegregation plan. Region II has had only limited success in recent efforts to direct ESAA projects away from compensatory education and toward specific desegregation needs because:

- There are broad alternative definitions of eligible desegregation plans present in the Act and regulations.

- Proposal writers are able to present programs for general aid to education in the cloak of desegregation related needs. Writers of ESAA proposals in each of seven case study districts presented achievement test results as if they were the result of desegregation. In fact, minority students tend to score lower than whites on such tests in most school districts with and without desegregation plans. In 5 of 7 case study districts, only the proposal writers--and not local teachers and principals--were able to articulate a connection between local desegregation plans and the local ESAA project activities.

- There are no regulations or guidelines for relating magnitude of need to the size of the grant award.

The report, An Assessment of ESAA Program Operations, also notes that the application review process for ESAA Basic grants is not selective. While there is a complex competitive funding process, the result in FY 77 was that approximately 85 percent of applicants were funded. More than half of the applicants received a quality score within four points of the maximum 45 point score. In short, there is little distinction between high and low quality applications and almost all eligible applicants are funded anyway.

A three-year evaluation of the ESAA Basic and Pilot programs conducted for OE in 1974-76 suggests that ESAA funds are targeted to districts with acute academic needs. There was also evidence that the recipient districts and schools translated their ESAA funds into services appropriate for their students, and generally focused those services upon students with the greatest academic needs. An exception to this finding occurred in the third year for Basic Elementary schools; the more academically advantaged (highest-scoring) Basic Elementary schools tended to have the highest per pupil supplemental expenditure levels.

Most of the evaluations discussed above are more critical of the targeting of ESAA funds. They do not dispute the academic needs of schools receiving ESAA funds, but question whether a program for emergency school desegregation aid should be a compensatory education program.

> Although most ESAA Basic funds are spent on general or compensatory educational activities, about two thirds of ESAA Basic districts funded some human relations activities in at least one school during 1977-78, reflecting an increase in the funding of such activities over the last two years. An OE-sponsored evaluation report, Characteristics and Contexts of ESAA Basic Human Relations Programs, showed that districts and schools providing human relations services tended to be more recently desegregated, and to have a lower average percentage of minority students than the Basic population as a whole. In those districts that did provide human relations services, more than a third of their ESAA grant, on the average, was used for this purpose.
>
> Two types of human relations activities were funded. One type focused on improving intergroup relations and included activities designed to ease racial tensions, improve intergroup interactions, and to promote intercultural awareness and understanding. The second type focused on problems associated with minority isolation and included activities designed to improve self-concept of students and to prevent or treat specific problems of individual students.
>
> Nearly all of the schools providing human relations services also provided compensatory education services to ESAA students. Those students receiving compensatory services tended to be from minority backgrounds and tend to be "pulled out" of class for compensatory instruction, suggesting that, in some cases, students were being racially resegregated for their compensatory services.

Effectiveness. The three year evaluation of the ESAA Basic and Pilot programs found evidence of program impact in improving academic achievement in Year Three for the Basic elementary schools but not for the Basic secondary or Pilot elementary schools. That is, students in elementary grades in schools participating in the Basic program in 1975-76 made larger achievement gains than similar students in schools without the program ("control" schools). Although the evaluation did not find positive effects for Basic secondary or Pilot elementary schools, there may have been positive impact that was obscured because of technical problems encountered. 5/

The best and worst schools were chosen for an in-depth study in 1974-75 and 1975-76. Schools were selected based upon their success or failure in raising achievement test results in reading and mathematics from the previous school year. The results show patterns of successful schools:

- Organizational Climate. In-depth schools that succeeded in raising student achievement were characterized in both years by administrative leadership in instruction. Effective administrators felt strongly about instruction and assumed relatively more responsibility for instruction-related tasks as, for example, selecting basic instructional materials and planning and evaluating programs for the entire school.
- Reading and Mathematics Instructional Practices. Students were significantly more likely to gain in reading and mathematics when: teachers praised and rewarded students frequently and were more favorable to restricting rewards to occasions when students made academic progress; teachers used behavioral objectives and attached importance to setting challenging goals; and, teachers emphasized behavioral objectives and individualized instruction.
- School Resource Use and Cost. There was no statistically significant relationship between academic performance and the level of resource use in reading and mathematics instruction within the in-depth schools.

5/ Local school districts diluted the experimental design by providing other resources for the "control" schools. Since there were few differences in total resources between ESAA and "control" schools (except for ESAA Basic elementary schools in 1975-76), there is no obvious reason to predict that the ESAA schools would show greater gains in student achievement.

- Equality of Educational Opportunity. In schools placing greater emphasis on equality of educational opportunity, students were significantly more likely to interact without regard to race or ethnicity; minority students were significantly more likely to perceive teachers as treating them favorably; and schools that placed greater emphasis on providing equality of educational opportunity were more successful in raising student achievement.

The positive findings regarding "human relations" activities have been consistently replicated in OE sponsored desegregation program evaluations.

A 1973-75 nationwide study, Conditions and Processes of Effective School Desegregation, identified several practices and policies as effective in improving the quality of race relations among students in the schools: Multiracial curriculum materials, teaching of minority history and culture, open classroom discussions on racial issues, and the assignment of black and white students to work together and to play together in organized activities. Ways of building a school environment that is supportive of integration are presented with specific examples in the publication A Handbook for Integrated Schooling, which is one product of the study.

A study of the predecessor of ESAA, the Emergency School Assistance Program (ESAP), examined 600 southern schools in 1971-72. Human Relations programs were found to be effective in improving the attitudes of white urban students toward integration.

Finally, a 1970-71 study of 252 southern school districts in the first year of ESAP suggested that counseling and special student programs were associated with positive change in school racial climate.

Nonprofit Organizations. In an evaluation report to the Office of Education, the Rand Corporation finds that NPO projects are not operating as effectively as other community organizations not funded by ESAA. Activities such as developing community support for a desegregation plan or improving school-community relations can often be accomplished more effectively by a community organization than by a school district.

There are a number of factors which now militate against the more effective community organizations receiving ESAA funding:

- The extremely close connection between "host" school districts and NPOs has led NPOs to undertake projects agreeable to the districts and often not directly related to desegregation. The projects tend to offer education services ordinarily performed by the districts, and less often to undertake community relations and desegregation monitoring activities.

- o Because NPO activities are generally not targeted to the particular phase of desegregation their districts are in, many NPO activities are inappropriate to the current desegregation situation in their districts. For example, NPOs often undertake remedial and tutorial activities when the district is in the initial stages of desegregation.

- o The NPO proposal review system presently used by USOE does not succeed in identifying effective NPOs.

Fortunately, these factors are subject to change at the Federal level and do not represent fundamental weaknesses of community organizations themselves.

Magnet Schools. A magnet school for purposes of ESAA is defined as a "school or education center that offers a special curriculum capable of attracting substantial numbers of students of different racial backgrounds." An evaluation report finds that:

- o Magnet schools can be effective when used as a component of a comprehensive, district-wide desegregation effort and when used in districts with an easier desegregation task.

- o Most magnet schools are able to achieve their racial composition and enrollment goals. Among the factors that increase the likelihood of success are:

    - oo attendance zones that draw at least in part from selected neighborhoods rather than the entire community.

    - oo location of a magnet in a racially mixed area rather than a majority or minority neighborhood.

- o The ESAA magnet school program funded many school districts with marginal needs for desegregation aid.

Educational Television. An OE sponsored survey of viewership of television series funded by ESAA found:

- o A substantial proportion of the principal intended target audience (Black and Hispanic children) are in communities in which the older, established ESAA television series are broadcast. The newest ESAA series were just becoming available at the time of data collection (May 1977) and reached only a small proportion of the audience.

- Viewership data for individual programs showed that a regional program, "La Esquina," had an 8.5 percent viewership. Another regional series, "La Bonneaventure," had 3.6 percent viewership. All other ESAA-TV series were below 3 percent viewership, including national programs such as "Villa Alegre" (2.6 percent) and "Carrascolendas" (1.5 percent). (Viewership is defined as the number of children who had watched a program once or more within the week preceding the survey divided by the number of children located in communities in which the program is broadcast.)

- Viewership rates were generally higher than those shown above for the target race and age audience. The time of day and day of week that a program is broadcast also significantly affects viewership.

Maintenance of Effort

ESAA regulations have maintenance of effort assurance requirements. Applicant school districts must assure: (1) that they have not reduced their fiscal effort for public education to less than that of a specified prior fiscal year, and (2) that current expenditures per pupil from local sources are not less than that of a specified prior year. In fiscal year 1978 there were no waivers of the ESAA maintenance of effort requirements.

Ongoing and Planned Evaluation Studies

"ESAA Exploratory Evaluation" conducted by DHEW staff and by contract. Due early 1980.

This study will examine and synthesize the differing views of the goals and objectives of ESAA and make appropriate management recommendations.

"A Study of the Effects of Selected ESAA Supported Activities on Intergroup Relations and Basic Skills," under contract with System Development Corporation. Due 1980.

This study will describe the types of human relations programs funded by ESAA and examine the types of human relations activities that are most effective in improving intergroup relations within schools.

"An Assessment of the ESAA-TV Program Through an Examination of its Production, Distribution and Financing," under contract with Abt Associates. Due April 1980.

This study will determine the costs and impact of Federal management practices, identify factors contributing to high and low quality programming, and identify promotional and distribution practices.

"A Study of Parental Involvement in Four Federal Education Programs," under contract with System Development Corporation. Due 1980.

This study will examine the types of parental involvement in the four programs (Title I, ESAA, Bilingual Education, and Follow Through). Later phases of the study will examine profiles of effective parental involvement.

Sources of Evaluation Data

1. Acland, H. Secondary Analysis of the Emergency School Assistance Program. Santa Monica, California: Rand Corporation, 1975.

2. Better Criteria Needed for Awarding Grants for School Desegregation. Washington, D.C.: General Accounting Office, 1978.

3. Coulson, J. Overview of the National Evaluation of the Emergency School Aid Act. Santa Monica, California: System Development Corporation, 1977.

4. Coulson, J., et al. The Third Year of Emergency School Aid Act (ESAA) Implementation, (6 volumes including prior year reports). Santa Monica, California: System Development Corporation, 1977.

5. Crain, R., et al. Southern Schools: An Evaluation of the Effects of the Emergency School Assistance Program and of School Desegregation, (2 volumes). Chicago: National Opinion Research Center, 1973.

6. Crocker, S., et al. An Evaluation of the ESAA Nonprofit Organization Program, (4 volumes). Santa Monica, California: Rand Corporation, 1978.

7. Ferrara, L., & Lanoff, S.B. The ESAA Basic and Pilot Programs in Region II (2 volumes). Washington, D.C.: Applied Urbanetics, 1978.

8. Forehand, G.A., Ragosta, M., & Rock, D.A. Conditions and Processes of Effective School Desegregation. Princeton, New Jersey: Educational Testing Service, 1976.

9. Forehand, G.A., & Ragosta, M. A Handbook for Integrated Schooling. Princeton, New Jersey: Educational Testing Service, 1976.

10 Gordon, K. Evaluation of the Emergency School Assistance Program (5 volumes). Bethesda, Maryland: RMC Incorporated, 1972.

11 MacPhee, B. Emergency School Assistance Program Community Grants. Atlanta, Georgia: Southern Education Foundation, 1971.

12 Need to Improve Policies and Procedures for Approving Grants under the Emergency School Assistance Program, Washington, D.C.: General Accounting Office, 1971.

13 Hebbeler, K., & Cosgrove, M. A Survey of Home Viewership of Television Series Sponsored by ESAA Legislation. Silver Spring, Maryland: Applied Management Sciences, 1978.

14 Royster, E., Baltzell, D.C., & Simmons, F.C. Study of the Emergency School Aid Act Magnet School Program. Cambridge, Massachusetts: Abt Associates, 1979.

15 Seefeldt, E. ESAP Community Group: An Evaluation. Washington, D.C.: Kirschner Associates, 1972.

16 Smith, S. An Assessment of Emergency School Aid Act (ESAA) Program Operations (3 volumes). Washington, D.C.: Applied Urbanetics, 1978.

17 Stout, R. Facilitating Desegregation: A Handbook for Community Organizations Tempe, Arizona: Arizona State University, 1978.

18 Wellisch, Jean B, et al. Characteristics and Contexts of ESAA Basic Human Relations Programs. Santa Monica, Calif: System Development Corporation, 1979.

19 Weaknesses in School Districts" Implementation of the Emergency School Assistance Program. Washington, D.C.: General Accounting Office, 1971.

For further information about program operations,

Contact: Riley Simmons (Malcolm Davis for ESAA TV only)
245-8465 245-9228

For further information about studies of program effectiveness,

Contact: Robert L. York
245-7997

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Bilingual Education

Legislation:

Bilingual Education Act-Title VII of the Elementary and Secondary Act of 1965, as Amended by P.L. 95-561

Expiration Date:

September 30, 1983

Funding History:

Year	Authorization	Appropriation
FY 68	$ 15,000,000	$ -0-
69	30,000,000	7,500,000
70	40,000,000	21,250,000
71	80,000,000	25,000,000
72	100,000,000	35,000,000
73	135,000,000	45,000,000 1/
74	146,750,000	58,350,000 2/
75	147,250,000	85,000,000 3/
76	152,750,000	98,000,000 3/
77	163,750,000	115,000,000
78	174,750,000	135,000,000
79	232,000,000	150,000,000
80	299,000,000	166,963,000 4/

Program Goals and Objectives:

The general goal of the Bilingual Education Program is to develop English proficiency in children of limited English proficiency and to provide them with equal educational opportunity. To achieve this goal,

---

1/ Of this amount, $9,870,000 was released and made available for obligation in FY 74.

2/ Amount shown is after Congressionally authorized reductions.

3/ Includes funds earmarked by the Congress to carry out provisions of Part J of the Vocational Education Act. An amount of $2,800,000 was appropriated for this purpose each year. Subsequently, funds for vocational education been requested under the appropriation title for Occupational, Vocational, and Adult Education.

4/ Includes $8,600,000 for the bilingual desegregation program, moved to Title VII as of 1980 from the Emergency School Aid Act by the Education Amendments of 1978.

the Program provides assistance (a) for establishing elementary and secondary programs of bilingual education, (b) for establishing training programs to increase the number and quality of bilingual education personnel, (c) for developing and disseminating bilingual instructional materials, (d) for coordinating programs of bilingual education, and (e) for carrying out studies and evaluations.

The term "limited English proficiency" when applied to a student means one; (a) who was not born in the United States or whose native language is a language other than English, (b) who comes from an environment where a language other than English is dominant, or (c) is American Indian and Alaskan Native and who comes from an environment where a language other than English has had a significant impact on his or her level of language proficiency and, for these reasons, has sufficient difficulty in speaking, reading, writing, and understanding the English language to deny him or her the opportunity to learn successfully in classrooms where the language of instruction is English. The term "program of bilingual education" means an instructional program designed for students of limited English proficiency in elementary and secondary schools where instruction is given in English and, to the extent necessary, the native or dominant language of the student to allow the student to achieve competence in the English language. Such instruction may incorporate an appreciation for the cultural heritage of the student of limited English proficiency and may be in all subjects necessary for the student to progress effectively through the educational system. A program of bilingual education may provide for the voluntary enrollment to a limited degree (not more than 40 percent) of students who are proficient in English only if doing so contributes to the primary program objective of assisting students of limited English proficiency to improve their English language skills.

The Elementary and Secondary Education Act of 1965 was amended in 1968 by P.L. 90-247 to create Title VII, the Bilingual Education Act. The initial purpose of the Act was to provide financial assistance to carry out new and imaginative elementary and secondary school programs designed to meet the special educational needs of children of limited English-speaking ability.

In 1974, the Congress greatly expanded the scope of the Bilingual Education Program through the Education Amendments of 1974 (P.L. 93-380). As a result of P.L. 93-380, increased emphasis was placed on both preservice and inservice training. Included were funds to increase the capacity of postsecondary institutions to train personnel to work in bilingual education programs and a major fellowship program to develop teacher trainers. In addition, the new legislation led to the development of a national Network of Centers [Materials Development (MDCs), Training Resource (TRCs) and Dissemination and Assessment (DACs)] referred to collectively as the "Network" and funds to States to provide technical assistance to individual projects. In 1976, funds were allocated for the development of the National Clearinghouse for Bilingual Education.

Other provisions of P.L. 93-380 created the Office of Bilingual Education and the National Advisory Council on Bilingual Education. The Act mandated that the Office of Bilingual Education report directly to the U.S. Commissioner of Education, called for major new initiatives in research, and mandated a national assessment of bilingual education directions and needs.

Congress sharpened its definition of acceptable programs of bilingual education operated by Local Education Agencies by providing for instruction in the native language of children with limited English-speaking ability to make it possible for the children to progress effectively through the educational system while they were learning English. Emphasis was also placed on giving attention to the cultural heritage of children of English-speaking ability in bilingual programs. At the same time, the Congress made it clear that programs designed to teach a foreign language to English-speaking children were not allowable.

Under the Education Amendments of 1978 (P.L. 95-561), Congress clarified its intent that the primary purpose of the program was to help children become proficient in understanding, speaking, reading, and writing the English language. The new Act calls for development of entry and exit criteria for individual students; limits the participation of non-English-limited children to 40 percent; strengthens requirements for parental and community involvement; and emphasizes serving children most in need, including the historically underserved.

Program Operations

In general, the Bilingual Education Program awards forward-funded discretionary grants on a competitive basis to Local Educational Agencies, institutions of higher education, centers (MDCs, TRCs, and DACs), and contracts with State Educational Agencies. Although the majority of grants are for multiple years, grant awards are made for a one year duration — with continuation awards for subsequent years subject to satisfactory performance and availability of funds in future fiscal years.

The Office of Bilingual Education administers the ESEA Title VII Bilingual Education Program and funds five categories of subprograms: Basic Programs of Bilingual Education, Support Services, Teacher Training Programs, Fellowship Programs, and Technical Assistance Programs operated by State Education Agencies.

Basic Programs: A Basic Program grant is awarded to Local Educational Agencies (or institutions of higher education applying jointly with Local Educational Agencies) for the establishment of bilingual education programs in elementary or secondary schools, training programs for bilingual education personnel, preschool bilingual education programs, and adult bilingual education programs.

Support Services: Support Services grants are made to three types of centers -- Training Resource Centers, Materials Development Centers, and Dissemination and Assessment Centers.

1. Training Resource Centers (TRCs): Those eligible for funding are Local Educational Agencies, State Education Agencies, and institutions of higher education applying either jointly or after consultation with Local Educational Agencies. Activities authorized under this grant include the training of teachers, administrators, para-professionals, teacher aides, parents, and other persons associated with a bilingual education program in (a) the use of bilingual education practices and materials--including the field-testing of materials, (b) procedures for involving parents and community organizations in bilingual education programs, and (c) procedures for evaluating the impact of bilingual education programs.

2. Materials Development Centers (MDCs): Those eligible for funding are Local Educational Agencies or institutions of higher education applying jointly with Local Educational Agencies. Authorized activities are (a) the development of instructional and testing materials for use with bilingual education programs, and (b) the development of instructional materials for use by institutions of higher education in preparing teachers and auxiliary personnel for bilingual education programs.

3. Dissemination and Assessment Centers (DACs): Those eligible for funding are Local Educational Agencies or institutions of higher education. Authorized activities include (a) the publication and distribution of instructional and testing materials for use in bilingual education programs of Local Educational Agencies or institutions of higher education, and (b) assessment of the need, effectiveness, and applicability of materials and test instruments for bilingual education programs.

4. Other Support Services: Funding is also provided for the National Information Clearinghouse, a Bilingual Advisory Council, and research and studies.

Training Programs: Eligible applicants for a Training Program grant are Local Educational Agencies, State Education Agencies, non-profit organizations, and institutions of higher education applying either jointly or after consultation with Local Education Agencies. Funding to State Educational Agencies is limited to 15 percent of all training funds to Centers, Local Educational Agencies and institutions of higher education. Authorized activities include (a) training programs for teachers, administrators, para-professionals, teacher aides, and parents associated with programs of bilingual education, (b) programs to train personnel who will subsequently train those involved with programs of bilingual education, and (c) programs which encourage reform, innovation, and improvement in educational curricula, graduate education, structure of academic profession, and the recruitment and retention of higher education and graduate school faculties.

Fellowships for Preparation of Teacher-Trainers: Fellowships authorized under this program are restricted to full-time students enrolled in a program which trains them to be the trainers of teachers within bilingual education programs. Graduates of this post-baccalaureate fellowship program should be able to train teachers capable subsequently of (a) teaching elementary and secondary school courses in both English and another language, and (b) selecting and using appropriate test instruments for measuring the educational achievement of students of limited English proficiency. The Education Amendments of 1978 require that fellowship recipients must either repay the award or work in the field of bilingual education teacher training for a period equal to the number of years for which assistance was received.

Technical Assistance Programs by State Educational Agencies: A State Educational Agency (in a State where programs of bilingual education operated during the fiscal year preceding the fiscal year for which assistance is sought) may submit an application for a contract to provide technical assistance to Local Educational Agencies in conducting programs of bilingual education. The award to any State may not exceed 5 percent of the total amount paid to Local Educational Agencies in the same State. Technical assistance may take the following forms:

- Monitoring programs of bilingual education
- Evaluating the impact of bilingual education programs
- Facilitating exchange of information among bilingual programs
- Disseminating sample copies of materials acquired by the State Education Agency to Local Educational Agencies

Finally, the Commissioner of Education is authorized to make payments to the Secretary of the Interior for bilingual education programs to serve children on reservations having elementary and secondary schools for Indian children operated or funded by the Department of Interior.

On February 11, 1979, the Commissioner of Education appointed a new Director of the Office of Bilingual Education. Concurrent with the appointment, the Commissioner ordered a program audit of the Bilingual Education Program. The audit, conducted by the Director and his staff with the help of an independent consultant and under the supervision of the Executive Deputy Commissioner for Educational Programs, examined aspects of the Title VII program including program purpose, program regulations, grants management, research and program assessment, internal management, and external relations.

Information and comments were obtained during the audit process from the National Advisory Council on Bilingual Education, advocacy groups, client groups, and other offices throughout the Department. As a result, twenty-one significant policy issues were analyzed; four major problems in grants management were identified; and five areas of internal management were studied. On March 2, 1979, the Director presented his report and recommendations for improvement to the Commissioner.

In brief, the following actions were taken by the Commissioner to strengthen educational opportunity for students with limited proficiency in English:

- Adoption and implementation of procedures to ensure that scarce federal resources are targeted on children with limited proficiency in English
- Initiation of an internal study to identify the key objectives against which overall program performance should be measured
- Revision of funding criteria for the Basic Grant program to help assure that school districts and children most in need are served
- Development of a demonstration program to encourage the provision of services to special populations of children with limited English proficiency such as the handicapped, the gifted and talented, and preschool children
- Adoption of regulations to assure increased parental and community involvement in the planning and operation of Title VII projects at the local level
- Reorganization of training and support services to focus efforts more clearly and effectively on the needs of Local Educational Agencies
- Implementation of a phased plan to increase coordination between Title VII and other educational programs that serve children with limited proficiency in English
- Development of a comprehensive research plan for the years 1979-1983

The Commissioner, upon the recommendation of the Director, has also proposed a major reorganization of the existing network of centers. For example, during the next three years existing Materials Development Centers will be phased out, and the Office of Education will use contracts to develop materials for which a clear need has been established.

Under the proposed reorganization, the functions of other support centers will be increased under a coordinated plan that targets all efforts on increasing the effectiveness of classroom teachers and the capacity of school districts to operate effective bilingual education programs. The

Office of Education has continued to stress the importance to local school districts that they develop a clear capability to continue bilingual education programs begun with federal assistance. In addition, districts which have previously received support from Title VII are under a special obligation to demonstrate the need for continuing assistance.

The existing Training Resource Centers are to be replaced by Bilingual Education Service Centers (BESCs). The existing Dissemination and Assessment Centers are to be replaced with Evaluation, Dissemination, and Assessment Centers (EDACs). In addition, the functions of the SEA technical assistance units have been more precisely defined. As a example of how this new network of centers will work closely together to serve school districts, the EDACs will develop model evaluation plans that may be used by school districts to assess the effectiveness of their Title VII programs. The EDACs will then train the staff of the BESCs and the SEA technical assistance units so that they may in turn train school districts to select the appropriate models to assess their specific programs.

The Office of Education arranged with the National Institute of Education for the development of a monograph entitled "A guidebook for the effective management and use of evaluations in Title VII projects." It will be distributed to all Title VII grantees and applicants. This manual will assist them in formulating the most appropriate evaluation plans possible, as well as serving as a guide for structuring required evaluation reports to the Office of Education.

Meaningful parental and community involvement in the planning and operation of local programs has not been sufficiently emphasized in the past. Consequently, the Office of Education has continued to take steps to help assure increased parental and community involvement in the development and operation of Title VII programs. For example, the Office of Education is presently

o Requiring the applicant to establish an advisory council and to submit documentation that the council participated in the preparation of the application

o Requiring the applicant to include in its application comments from the council on the application

o Requiring the applicant to provide the council adequate staff and resources to conduct its functions

o Requiring a successful grantee to establish an advisory committee to participate in the operation of the gramsct

This increased emphasis on the involvement of parents will help to improve the quality of programs and to increase their sensitivity to the needs of the populations thay have been legislated to serve.

In 1974, the Congress made provision in Part C of the Bilingual Education Act for a comprehensive research effort to improve the nation's capacity for mounting effective bilingual education programs. Specifically, Part C charged the Assistant Secretary of Education with the responsibility of coordinating research efforts of the National Institute of Education and the Office of Education to enhance the effectiveness of bilingual education programs. To fulfill this mandate, the Assistant Secretary for Education appointed the Part C Coordinating Council in April 1978 to guide current and future research efforts. Membership on the Council includes representatives from the Office of Education, the National Institute of Education, and the National Center for Educational Statistics. The Director of the Office of Bilingual Education, as a member of the council, assures that an important part of the research effort is directed at improving the operation of Title VII programs.

The Part C Coordinating Council has recently completed a comprehensive research agenda to be implemented in 1979-83. The plan is designed to meet several mandates for studies and activities contained in the Bilingual Education Act of 1978. In addition, the research agenda also includes a number of studies which are not expressly mandated by the Congress, but which were initiated by the Office of Education to complement the agenda. For example, the Office of Education arranged to conduct short-term management studies; for a study designed to assess the inservice training needs, assessment practices, and procedures in Basic Programs; and has formulated a Basic Program Profile to be used to collect and compile Basic Program information for instant retrieval via the National Clearinghouse for Bilingual Education's Information System. These studies initiated by the Office of Education, as well as those congressionally-mandated, will permit the Office of Education to better understand and assist bilingual education programs.

Program Scope:

For the Office of Bilingual Education, the actual allocation of funds for FY 1978 and the estimated allocation for FY 1979 are given in Table 1, which shows clearly that the majority of funds are allocated to bilingual education programs implemented by Local Educational Agencies. Selected characteristics of projects during the 1978-79 academic year are given in Tables 2 through 4.

Table 1

Allocation of Funds By The Office of Bilingual Education For FY 1978 and FY 1979

Category	FY 1978 Funding	FY 1978 Awards	FY 1979 Funding	FY 1979 Awards
Basic LEA Grants */	$94,710,221	567	$102,350,000	570
Training Grants				
Fellowships	4,933,544	778	5,000,000	735
TRCs	7,991,000	20	8,625,000	20
Professional Development	11,000,211	103	16,000,000	161
Support Services				
o MDCs and DACs	9,999,999	22	10,000,000	20
o Grants to SEAs (Technical Assistance)	4,374,246	44	4,875,000	46
o National Advisory Council	113,000	1	150,000	1
o Information Clearinghouse	500,000	1	1,000,000	1
Research and Studies	600,000		2,000,000	11
Total	$134,222,221		$150,000,000	

*/ Includes Inservice Training

Table 2

Distribution of Projects in United States And Level of Funding For Each State or Territory As of 1978-79 Academic Year

State	Number of Projects	Total Funding ($)
Contiguous United States		
Alaska	9	807,374
Arizona	28	3,662,561
California	148	25,999,640
Colorado	15	1,919,339
Connecticut	7	982,073
Delaware	1	200,000
District of Columbia	1	219,893
Florida	11	1,516,666
Georgia	1	95,000
Hawaii	1	522,738
Idaho	3	343,062
Illinois	5	2,821,063
Indiana	2	229,789
Kansas	1	110,200
Kentucky	1	120,000
Louisiana	18	3,751,324
Maine	3	272,440
Maryland	2	279,671
Massachusetts	12	1,951,587
Michigan	16	2,202,462
Minnesota	2	318,250
Mississippi	1	312,734
Missouri	1	129,594
Montana	5	765,115
New Hampshire	1	133,950
New Jersey	14	2,683,965
New Mexico	24	2,775,451
New York	92	17,646,685
North Carolina	2	250,857
Ohio	4	529,687
Oklahoma	4	578,899
Oregon	5	672,102
Pennsylvania	7	937,855
Rhode Island	9	1,134,623
South Dakota	5	427,403
Tennessee	1	175,000
Texas	70	12,096,727

Table 2 (Cont.)

State	Number of Projects	Total Funding ($)
Utah	5	$ 509,527
Vermont	2	274,961
Virginia	3	441,333
Washington	6	1,178,834
Wisconsin	4	488,510
Wyoming	2	168,531
Outlying Territories		
American Samoa	1	202,615
Guam	1	230,174
Puerto Rico	2	538,842
Trust Territories of the Pacific Islands	7	708,341
Virgin Islands	2	240,294
Sum	567	$ 94,557,731

Table 3

Number Of Students Served By Title VII Funds By State And Territory: Fiscal Year 1978

Alaska	1,999	New Mexico	6,516
Arizona	15,066	New York	44,066
California	81,761	North Carolina	620
Colorado	6,787	Ohio	1,944
Connecticut	2,157	Oklahoma	2,627
Delaware	397	Oregon	1,575
Florida	3,380	Pennsylvania	3,657
Georgia	110	Rhode Island	1,879
Hawaii	1,155	South Dakota	436
Idaho	2,085	Tennessee	1,218
Illinois	5,048	Texas	68,283
Indiana	350	Utah	1,509
Kansas	233	Vermont	568
Kentucky	180	Virginia	1,170
Louisiana	9,920	Washington	3,092
Maine	681	Wisconsin	2,002
Maryland	492	Wyoming	276
Massachusetts	4,207		
Michigan	6,604		
Minnesota	971	American Samoa	1,149
Montana	378	Guam	520
Mississippi	242	Puerto Rico	1,326
Missouri	305	Trust Territories of the Pacific Islands	2,539
New Hampshire	312		
New Jersey	7,246	Virgin Islands	1,477
		Washington, D.C.	1,647

Note: The 42 States and 6 Territories above serve a total of 302,162 students

Table 4

Language Addressed By Individual Projects During 1978-79 Academic Year

Languages	Number of Projects
Spanish	370
Navajo	15
French	15
Portuguese	7
Italian	6
Crow	4
Mohawk	3
Cherokee	2
Lakota	2
French Canadian	2
Tewa	2
Chinese	2
Yup'ik	2
Inupiaq	2
Papago	2
Vietnamese	2
Arabic	2
Choctaw	2
Samoan	1
Aleut	1
Chamorra	1
Kusaian	1
Gwich'in	1
Ponapean	1
Marshallese	1
Athabascan	1
Trukese	1
Palauan	1
Pima	1
Havasupai	1
Piaute	1
Greek	1
Eelaponke	1
Ilocano	1
Passamaquoddy	1
Yiddish	1
Armenian	1
Ojibwe	1
Northern Cheyenne	1
Keresian	1

Table 4 (Cont.)

Languages	Number of Projects
Apache	1
Japanese	1
Haitian French	1
Menominee	1
Central Yup'ik	1
Portuguese, Spanish	10
Italian, Spanish	8
Chinese, Spanish	4
French, Spanish	3
Pilipino, Spanish	3
Spanish, Vietnamese	2
Tewa, Spanish	1
Korean, Spanish	1
Haitian, Spanish	1
Spanish, Yiddish	1
Italian, Japanese	1
Chinese, Korean	1
French, Haitian	1
Korean, Vietnamese	1
Greek, Seminole	1
Russian, Spanish	1
Arabic, Spanish	1
Pennsylvania Dutch, Spanish	1
Carolianian, Chamorra	1
Lakota, Sioux	1
Punjabi, Spanish	1
Navajo, Spanish, Ute	1
Ute, Spanish	1
Miccosukee, Spanish	1
French, Hungarian	1
Haulapai, Havasupai	1
Spanish, Tagalog	1
Ilocano, Spanish	1
Armenian, Spanish	1
Navajo, Spanish	1
French, Haitian, Spanish	2
Korean, Spanish, Vietnamese	2
Spanish, Ilocano Tagalog	2
Ulithian, Woleian, Yapese	1
Tewa, Spanish, Keresian	1

Table 4 (Cont.)

Languages	Number of Projects
Alogonkin, French, Spanish	1
Italian, Portuguese, Spanish	1
Arabic, Greek, Spanish	1
French, Italian, Spanish	1
Greek, Spanish, Vietnamese	1
Chinese, Italian, Spanish	1
French, Spanish, Yiddish	1
Spanish, Tagalog, Vietnamese	1
Greek, Korean, Spanish	1
Korean, Cambodian, Vietnamese	1
Spanish, Korean, Vietnamese	1
Chinese, Pilipino, Spanish	1
Hebrew, Italian, Russian, Spanish	1
Greek, Yiddish, Italian, Spanish	1
French, Haitian, Italian, Spanish	1
Chinese, Greek, Haitian, Spanish	1
Cambodian, Chinese, Japanese, Korean	1
Cambodian, Chinese, Tagalog, Vietnamese	1
Chinese, Pilipino, Spanish, Tagalog	1
Japanese, Korean, Pilipino, Spanish	1
Chinese, Spanish, Japanese, Korean	1
French, Greek, Haitian, Portuguese, Spanish	1
Chinese, French, Greek, Italian, Spanish	1
French, Hebrew, Russian, Spanish, Yiddish	1
Vietnamese, Chinese, Japanese, Spanish, Thai	1
Chinese, French, Spanish, Japanese, Persian	1
Chinese, Korean, German, Russian, Vietnamese	1
Chinese, Korean, Spanish, Samoan, Tagalog	1
Chinese, Indo-Chinese, Portuguese, Spanish, Tagalog	1
Chinese, French, Greek, Italian, Spanish	1
Chinese, Greek, Italian, Korean, Spanish, Vietnamese	1
French, Korean, Japanese, Thai, Yup'ik, Spanish	1
Chinese, Pilipino, Japanese, Korean, Samoan, Spanish	1
Chinese, Japanese, Korean, Pilipino, Tagalog, Vietnamese, Laotian	1
Chinese, French, Italian, Korean, Portuguese, Spanish, Vietnamese	1
Sum	567

Program Effectiveness and Progress

Although the main evaluative judgments about the effectiveness of Title VII should be based directly upon the services provided to participating students and their subsequent achievement, the impact of the program should also be considered in a larger sense of how it contributes to developing the capabilities of the nation's schools to design and implement better programs. As a major federal program aimed at providing equal educational opportunity for students of limited English proficiency, Title VII has been instrumental in drawing the attention of educators and the public to the needs of these students. Although the problem of how best to educate these students has not been resolved as quickly as had been hoped, the commitment of the federal government to assist these children is undiminished. The national consciousness about the education of students of limited English proficiency is greater then it was 5 or 6 years ago, and the Bilingual Education Program has been a central feature of this increased awareness.

Two evaluations which have demonstrated the difficulty of providing an adequate education to students of limited English proficiency are "The Evaluation of ESEA Title VII Bilingual Education Program" (completed in 1978) 1/ and "A study of the State of Bilingual Materials Development and the Transition of Materials to the Classroom" (completed in 1979).

The major findings of the "Evaluation" study, which collected data in the fall and spring of the 1975-76 and the fall of the 1976-77 school years were:

o Less than one-third of the students enrolled in Title VII Basic Program Grant Spanish/English bilingual education classrooms in grades 2 through 6 were judged to be of limited English-speaking ability.

o In English Language Arts, both Title VII and non-Title VII students were at approximately the 20th percentile relative to national norms. Regarding program impact, the achievement gains of Title VII Hispanic students were less than those of non-Title VII Hispanic students. In interpreting this finding, it should be noted that Hispanic Title VII students had been in a bilingual education project an average of 2.0 years for second grade students; 2.8 years, for fourth grade students; and, 3.2 years, for six grade students.

o In Mathematics computation, both Title VII and non-Title VII students were at approximately the 30th percentile relative to national norms. Regarding program impact, the achievement gains of Title VII Hispanic students were similar to those of non-Title VII students.

1/ The results from this study generated much debate; the nature of the controversy is summarized in documents (9) and (10) listed under "Sources of Evaluation Data."

o Approximately 85 percent of the project directors indicated that Spanish-dominant students remain in the bilingual education project once they are able to function in an all English-speaking classroom. Only 5 percent of the project directors indicated that a student is transferred to an all-English-speaking classroom once the student learns English well enough to function effectively in school in English. This finding may suggest that many children are kept in the program long after they could have been removed. It should be noted, however, that in 1975 and 1976, when the data were collected, Title VII did not have a strong legislative or regulatory requirement to "exit" children from the program. Since then, such requirements have been installed.

Because the findings of the Evaluation study suggested strongly that the Title VII program needed to be strengthened, the Commissioner of Education launched an effort -- through the Department's formal system for improving management effectiveness -- to insure that children of limited English speaking ability would constitute 75 per cent of those participating in the Title VII Basic Program by October 1, 1979. (The term "limited English-speaking ability" contained in the objective was changed to "limited proficiency in English" upon passage of the Education amendments of 1978.) To estimate the degree to which this initiative was being met, the Commissioner instructed the Office of Bilingual Education to conduct site visits to a sample of bilingual education projects to determine (a) the percentage of children of limited English proficiency being served, and (b) the means by which such children had been identified initially. The results from these site visits suggest that some improvements in the numbers of limited English proficient students being served by bilingual education projects may be underway. This initiative will continue during FY 1980 with the added objective that no less that 60 per cent of all children participating in each Title VII Basic Program will be of limited English proficiency. This added objective is to assure that the congressional requirement contained in Section 703 (a)(4)(B) of the Bilingual Education Act is met.

The major findings of the "Materials Development" study conducted in 1976-77 were as follows:

o 2,738 bilingual material items (texts, teacher guides, audio-visual materials, etc.) were identified. Of these, 309 (11.6%) were produced through the Title VII-supported Materials Development Centers or in the process of development; the remainder were commercially produced. Additional locally-developed materials exist, but were not catalogued.

o The language group where most bilingual materials have been produced is Spanish. Yet, users are dissatisfied with many of the materials and the demand remains only partially satisfied. All other languages need materials in all subject areas and grade levels.

o Because of thin markets represented by language groups other than Spanish, few, if any, non-Spanish materials will be commercially produced. Thus, continued support will be required from federal funds if materials are to be made available.

- The planning and development of Title VII curriculum materials have been encumbered by the complicated process of interaction among the three kinds of Title VII Centers.

- The development and publishing of materials by the Title VII Centers are hampered by the lack of a formal process for setting priorities (national needs assessment) and making decisions based on need, coupled with problems related to production, printing, and distribution.

- For certain other languages (e.g., Greek, Italian, Portuguese, French, Haitian), large quantities of materials have been imported into the U.S.; however, these materials are not linguistically or culturally suited for students residing in the U.S.

In response to the findings of this study, the Office of Education took several steps to make the materials development process more responsive to the needs of the local classrooms. Over the course of the next three years, the Office of Education plans to phase out the Material Development Centers which are now funded under grants in favor of contractual arrangements. Moreover, the Office of Education plans to establish a national system of needs assessments to determine the need for materials in different languages, regions, grade levels, and subjects on a more efficient basis, and to seek ways of better involving private publishers (beginning in FY 1980) on a shared-risk basis to reduce the costs to the federal government associated with curriculum materials development and improve the quality of classroom materials. Finally, the Office of Education is seeking marketing expertise to increase the dissemination capabilities of the Title VII Dissemination Centers.

Collectively, and in summary, these two studies have served to assist the Office of Education in managing more efficiently the Title VII Bilingual Education Program. In addition to those already mentioned, other changes have occurred in the legislation and in the Program:

- The Education Amendments of 1978 (ESEA Title VII), in contrast to the Education Amendments of 1974, clearly indicate that the primary purpose of a bilingual education project is to assist students in becoming competent in the English language and, when this has been achieved, participating students are to be transferred to a regular classroom. Additionally, such services are to be provided to those students having the greatest need. Moreover, the new legislation specifically dictates that no more than 40 percent of students in a bilingual education program may be proficient initially in English.

- The Education Amendments of 1978 specify that the Secretary of HEW will develop methods for identifying children of limited English proficiency who are in need of bilingual education programs, and evaluation models by which the effects of such programs in promoting student achievement may be evaluated. Studies in both areas are underway.

- The interim regulations for ESEA Title VII published in March 1979 require that an application for funding for a Basic Program grant must specify the manner in which students having the greatest need for program services will be selected, the procedure by which a participating student will be transferred to the regular classroom once able to function effectively in school in English, and the manner in which follow-up assistance will be provided to transferred students.

- The 1979 audit of the Bilingual Education Program contains several recommendations (e.g., program changes pertaining to entry/exit criteria and project quality) which are attributable, at least in part, to findings from the studies.

- Evaluation requirements for local projects have been strengthened in the new regulations.

- The Office of Education has restructured the roles and functions of the Bilingual Education Centers and has published those revisions in the final regulations for 1980.

Ongoing and Planned Evaluation Studies

Evaluation of bilingual project implementation via project information packages

Between 1974 and 1976, the U.S. Office of Education developed four Project Information Packages (PIP's) for bilingual education projects. Three PIP's were for Spanish/English bilingual education projects and the fourth for French/English. A PIP provides an adopting school district with guides, manuals, and other materials fully describing the instructional and management activities necessary for project success. The PIP materials are designed to provide enough detail to enable adopting school districts to carry out all aspects of planning, starting, and operating a bilingual education project. The objectives of the study are: (a) determine the effectiveness of the PIP's in assisting school districts select and implement the bilingual education projects they describe, (b) determine the effectiveness of the projects implemented via the PIP's improving student achievement and attitude, and (c) identify and analyze implementation problems encountered by school districts. The final report is scheduled for completion in December 1979.

Evaluation of the classroom instruction component of the ESEA Title VII Bilingual Education Program

A 3-year study of the bilingual education projects funded by Title VII Basic Program grants is planned. Although the instructional characteristics of projects will be examined, the emphasis is on examining the process by which projects are implemented, and factors which cause them to be implemented in a particular manner. The major objectives of the study are:

- To describe the characteristics of a representative sample of Title VII-funded bilingual education projects and to identify groups of projects which appear to represent distinctly different approaches to the education of children with limited English proficiency.

- To determine the project objectives, and the relationship between skills actually addressed by the projects and those skills necessary to function effectively in an all-English-speaking classroom in the United States.

- To determine the degree of program implementation among Local Educational Agencies, and to identify factors which enhance or impede project implementation.

- To develop alternative designs for an evaluation of the impact of ESEA Title VII on children's school-related skills and behaviors.

Development of evaluation and data gathering models for ESEA Title VII bilingual education projects (planned)

A congressionally-mandated project [see ESEA Title VII, Sections 731(e)(3) and 731(d)(2)] is planned for the development of evaluation and data gathering models for ESEA Title VII bilingual education Basic Program grant projects. The major objectives of the study are:

- To describe the current evaluation and data gathering practices and evaluation needs of ESEA Title VII Basic Program grant projects.

- To review and synthesize the relevant literature on evaluation models applicable to bilingual education projects.

- To develop an exportable product which will be capable of providing technical assistance to staff of bilingual education projects in conducting a project evaluation consistent with their needs.

Development of entry/exit criteria and associated assessment procedures for bilingual education projects

In September 1978, the U.S. Office of Education awarded a two-year contract for the development of entry/exit criteria and associated assessment procedures for bilingual education projects. The goal of the project is the development of a Student Placement System which will provide technical assistance to Title VII-funded bilingual education projects in (a) selecting students most in need of project participation, (b) determining when a participating student may successfully be transferred out of the project and into an all-English-speaking classroom, and (c) providing follow-up assistance to transferred students. This study is congressionally-mandated [see ESEA Title VII, Section 731(e)(2)].

As a whole, the Student Placement System is a set of materials for assisting project personnel in designing and implementing an "entry," "exit," and "follow-up" system appropriate for their particular needs, their particular students, and their particular community. The Student Placement System is not a set of achievement tests and is not an outline of one particular entry/exit assessment system which should be implemented in all projects. Rather, the Student Placement System is an adaptable set of materials for assisting projects in determining the characteristics of tests most appropriate for their needs, selecting and/or constructing and using such tests. The Student Placement System will include materials for:

o Conducting a local needs analysis for English-language skill assessment.

o Selecting and/or constructing appropriate assessment instruments, and developing procedures for their use.

o Developing appropriate criteria for selecting and transferring students.

o Implementing, maintaining, and evaluating the placement system.

Sources of Evaluation Data:

1. A Study of the State of Bilingual Materials Development and the Transition of Materials to the Classroom: A final report. Arlington, Virginia: Development Associates, 1978.

2. Evaluation of the Impact of ESEA Title VII Spanish/English Bilingual Education Program, Volume I: Study Design and Interim Findings. Palo Alto, CA.: American Institutes for Research, Report No.

3. Evaluation of the Impact of ESEA Title VII Spanish/English Bilingual Education Program, Volume II: Project Descriptions. Palo Alto, CA.: American Institutes for Research, Report No. AIR-48300-2/77-FR IV, 1977.

4. Evaluation of the Impact of ESEA Title VII Spanish/English Bilingual Education Program, Volume III: Year Two Impact Data, Educational Processes, and In-Depth Analyses. Palo Alto, CA.: American Institutes for Research, Report No. AIR-48300-1/78-FR V, 1978.

5. Danoff, M. Evaluation of the Impact of ESEA Title VII Spanish/English Bilingual Education Program: Overview of Study and Findings. Palo Alto, CA.: American Institutes for Research, Report No. AIR-48300-3/78-FR VI, 1978.

6. Comptroller General of the United States. Bilingual Education: An Unmet Need. Washington, D.C., United States General Accounting Office, 1976.

7. Audit of the Office of Bilingual Education. Washington, D.C.: U.S. Office of Education, 1978.

8. Empirical evidence addressing the effectiveness of bilingual education. Fourth Annual Report, Appendix A, from the National Advisory Council on Bilingual Education, 1978-79.

9. A re-examination of the evaluation of the impact of ESEA Title VII Spanish/English bilingual education program. Washington, D.C.: National Institute of Education, 1979.

10. Office of Education response to "A re-examination of the impact of ESEA Title VII Spanish/English bilingual education program" conducted by the National Institute of Education. Washington, D.C.: U.S. Office of Education, Office of Evaluation and Dissemination, 1979.

For further information about program operations,

Contact: Josue Gonzalez
(202) 245-2600

For further information about studies of program effectiveness,

Contact: David Shoemaker
(202) 245-2371

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Special Grants for Safe Schools

Legislation	Expiration Date
Title IX of the Elementary and Secondary Education Act of 1965, as amended by P.L. 95-561. Part D (Sections 941 - 944)	September 30, 1983

Funding History	Year	Authorization	Appropriation
	1979	15,000,000	-0-
	1980	1/	

Program Goals and Objectives

Section 941 of P.L. 89-10 as amended by P.L. 95-561 states: The purpose of this part is to provide financial assistance to aid local educational agencies throughout the Nation to meet special needs incident to providing security of children, employees, and facilities in elementary and secondary schools by reducing and preventing crimes against them and to encourage the reporting of serious crimes committed in schools to local law enforcement agencies.

Program Operations

- Allotments to Local Educational Agencies

Section 943 of this same legislation states:

(a) Within one hundred and eighty days after the date of enactment of the Education Amendments of 1978, the Commissioner shall select 15 local educational agencies for funding under this section. The Commissioner is to take into full account geographical considerations in the determination of the 15 agencies.

(b) The sums appropriated to carry out this part for a fiscal year shall be allotted by the Commissioner among the local educational agencies identified pursuant to subsection (a) in a manner which gives consideration to the following order:

   (1) The extent and impact upon elementary and secondary education of crime in the schools of the district to be served, including the reported incidences of such crime in the school.

1/ Such sums as may be necessary.

(2) Districts which have ongoing programs aimed at promoting school safety, but nothing in this paragraph shall be construed to mean that funds made available under this part will be used to substitute for local funds in such programs, but rather be used to expand such programs.

(3) The financial need of such local educational agency.

(4) The expense and difficulty of effectively carrying out a plan described in section 944(a) in such school district.

(5) The degree to which measureable deficiencies in the quality of public education afforded in such district exceed those of other school districts within the State.

(6) The degree to which the plan described in section 944(a), and the program or project to be assisted, are likely to effect a decrease in crime in the schools.

(7) The degree to which a local educational agency has developed administrative guidelines encouraging the reporting to local law enforcement agencies of all serious crimes committed in schools under their jurisdiction.

(8) The degree to which employees of the local educational agency report serious crimes committed in schools to local law enforcement agencies.

The 15 LEAs mentioned in (a) above have been selected and have been notified of their selection. In the event that funds become available up to 15 of the LEAs will be funded for up to 5 years each according to the funding criteria in (1) through (8) and as further specified in proposed regulations.

. Project Application Procedures

Section 944 sets forth the following requirements for the kinds of activities that can be supported by local projects:

(a) A local educational agency may receive a grant under this part for any fiscal year only upon application therefore approved by the Commissioner, with the consent of the appropriate State educational agency, upon the Commissioner's determination that the local educational agency has adopted and is implementing, or will, if assistance is made available under this part, adopt and implement, a plan to reduce crime and increase the safety and security of the students, employees, and facilities of its elementary and secondary schools through programs and projects designed to carry out the purpose of this part, including --

(1) the provision of additional professional or other staff members (including staff members especially trained in problems incident to crime control) and the training and retraining of staff for schools which are affected by such a plan;

(2) provision of information to parents and other members of the general public incident to the development or to the implementation of such plan;

(3) the adoption of administrative guidelines so that school officials and staff are encouraged to report all serious crimes occurring in school or in school buildings to local law enforcement agencies;

(4) planning and evaluation activities;

(5) other specially designed programs or projects that meet the purpose of this part;

(b) Funds may also be used for minor alteration of school plants and facilities, including the acquisition, installation, modernization, or replacement of equipment to reduce the susceptibility of the facility to crimes or vandalism. No more than 10 percent of the funds under any plan shall be used for this purpose.

(c) The Commissioner shall promulgate such regulations as may be necessary to provide for the suspension of funding under this part to any local educational agency which the Commissioner determines has not complied with the requirements of subsection (a) (3).

(d) The Commissioner shall consult with the Associate Administrator of the Office of Juvenile Justice and Delinquency Prevention for the purpose of coordinating programs and activities funded under the Juvenile Justice Delinquency Prevention Act of 1974.

Examples of types of activities that can be supported with these funds are discussed further in the proposed regulations.

Program Scope

The program is not operational at this time. It's scope in terms of number of LEAs involved is limited to 15 or less. Within this limited the number of LEAs, schools, staff and student affected by the program will depend on the amounts of funds appropriated.

Program Effectiveness and Progress

Since the program has never operated there is nothing to report.

Ongoing and Planned Evaluation Studies

None

Service of Evaluation Data

None

For further information about the program operations

Contact: Bob Thomas

(202) 265-2605

Contact: Dr. George Mayeske

(202) 24508857

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Training and Advisory Services (Civil Rights Act of 1964, Title IV)

Legislation:

Title IV of the Civil Rights Act
of 1964 (P.L. 88-352), as amended
by the Education Amendments of 1972
(P.L. 92-318)

Expiration Date:

indefinite

Funding History:	Year:	Authorization	Appropriation
	1968	indefinite	$ 8,500,000
	1969		9,250,000
	1970		17,000,000
	1971		16,000,000
	1972		14,000,000
	1973		21,700,000
	1974		21,700,000
	1975		26,700,000
	1976		26,375,000
	Transition Quarter		325,000
	1977		34,700,000
	1978		34,700,000
	1979		41,350,000
	1980		45,675,000

Program Goals and Objectives

Title IV is designed to provide training and technical assistance to school personnel related to problems incident to school desegregation with respect to race, color, religion, sex, and national origin. Technical assistance is authorized "in the preparation, adoption, and implementation of plans for the desegregation of public schools." Technical assistance includes, among other activities, making information available regarding "effective methods of coping with special educational problems occasioned by desegregation." The law also provides for training of school personnel "to deal effectively with special educational problems occasioned by desegregation," and for grants to school boards for inservice training of school personnel and the employment of specialists in connection with desegregation. All of the above quotes are from the legislation.

There are eleven subprograms under the Title IV program. Desegregation Assistance Centers (DACs) provide technical assistance and training services to local school districts within designated service areas. Separate DAC awards are made for race, sex, and national origin although a single applicant could compete for any combination of awards. State Educational Agencies (SEAs) are an alternative source of these desegregation services. There are separate awards for race, sex, and national origin; an SEA can apply for any combination of three subprograms. The DAC and SEA awards had been structured as a single competition leading to one contract for both race and sex desegregation activities. Separate contracts for each activity begin with new regulations adopted in FY 78.

There are two types of Training Institutes (TIs), one for sex desegregation and one for race desegregation. TIs conduct only training and do not provide technical assistance services. Finally, there are three types of direct awards to Local Education Agencies (LEAs). The 1978 regulations provide for direct grants to LEAs to employ a sex desegregation advisory specialist and conduct related training. Two new categories of discretionary awards to LEAs were created in 1978: one for race desegregation and one for national origin desegregation. In summary, there are eleven Title IV subprograms; three DAC, three SEA, two TI and three direct LEA awards.

Program Operation:

Title IV is a large discretionary grant program. Most DAC awards are received by institutions of higher education although any public agency (except an SEA or LEA) or private, nonprofit organization is eligible. Only institutions of higher education are eligible for TI awards. Only SEAs and school boards are eligible for SEA and direct LEA awards respectively.

Applicants send proposals to the Office of Education in Washington. Proposals are due at a time announced in the Federal Register except for the new discretionary awards to LEAs for race and national origin desegregation, for which applications may be received and awards made at any time. After review by OE staff, panelists assign each application a total numerical score (consisting of points for specific criteria that are added to produce a total score). Within each category, awards are made from the highest score down to a minimum acceptable score of 60 percent until funds are exhausted (except for DACs, where the applicant for each geographic service area with the highest score is selected).

Program Scope:

The following table presents data on Fiscal Year 1978 Title IV awards.[a]

Category	Total Applications (1)	Total Awards (2)	Percent of Applicants Funded (3)	Amount Awarded (thousands) (4)	Percent of Total Funds (5)	Average Award (thousands) (6)
Race						
1. DAC	36	15	42%	$7,011	23%	$467
2. SEA	41	37	90	3,748	12	101
3. TI	30	13	43	2,415	8	186
4. LEA	34	31	91	3,616	12	117
Sex						
5. DAC	27	10	37	3,060	10	306
6. SEA	40	28	70	2,268	7	81
7. TI	31	24	77	2,560	8	107
8. LEA	50	32	64	1,070	4	33
National Origin						
9. DAC	15	9	60	2,842	9	316
10. SEA	25	19	76	1,581	5	83
11. LEA	5	5	100	354	1.	71
Total	334	223	67	$30,524*	100%*	$137

* Totals do not add exactly due to roundoff error.

a Excludes $4,016,486 to fund 90 day extensions of FY 1977 projects. Over half of this amount ($2.4 million) was for Race and Sex DACs.

The first three columns show there was substantial competition nationally for most Title IV awards, especially the Race DACs and Sex DACs. The least competition was for the new discretionary awards to LEAs for Race and National Origin and the Race SEA awards.

The awards of Title IV funds in FY 1978 were as follows: race, 55%; sex, 29%; and national origin, 16%. 1/

1/ These percentages are obtained from column 5 by adding the percentages within each of the three categories.

The only surprise in column 6 is the relatively high average award for Race LEA awards. This figure is much lower if a $1.5 million award to Chicago is excluded. This program does not seem to be providing timely aid to meet legal obligations in several cases as envisioned, but rather is funding many districts that have received Title IV or Emergency School Aid Act awards in current or recent years.

Program Effectiveness and Progress

Title IV regulations were substantially revised in 1978 to incorporate many recommendations from a 1976 evaluation of the race desegregation programs by the Rand Corporation, Title IV of the Civil Rights Act of 1964: A Review of Program Operations. That evaluation found that Title IV needed more Federal direction to focus on needs directly related to desegregation. Recommendations from three other studies were also considered in revising the regulations.

Some of the major changes to increase the desegregation identity of Title IV are:

- SEAs providing race desegregation assistance must give priority to school districts in the first three years of implementing desegregation plans.
- Race DACs (formerly called "general assistance centers"), must give priority to helping school districts develop desegregation plans and to assisting districts in the first three years of implementing these plans.
- Race desegregation training institutes are permitted to provide training only to school districts which adopted desegregation plans within the two years preceding the beginning of the training.
- Activities related to the provision of compensatory education or the development of basic skills may not be funded under Title IV.

Another major feature of the regulations--not related to the Title IV evaluation study--is a limitation of Title IV aid to school districts remedying conditions of racial separation that are the result of State or local law or official action. The statute prohibits Title IV assistance for effort to overcome racial imbalance.

The Rand study was primarily based upon an analysis of mail questionnaires from 140 Title IV projects and site visits conducted at 40 projects and 74 school districts served by these Title IV projects.

DACs often undertake race desegregation activities such as developing new instructional techniques, training in the use of new methods and materials, developing curricula, helping districts assess needs and developing techniques for school-community interaction. More than any of the other types of Title IV projects, DACs have to function as organizations capable of delivering a wide range of training and technical assistance services to a large number of school districts. Given these complexities, it is not surprising that the statistical analysis found that several organizational characteristics were strongly related to the effectiveness 2/ of DACs but not the other types of Title IV projects. Favorable DAC organizational characteristics include having a well-specified plan of project organization containing explicit schedules and milestones and a clear description of staff responsibilities. DACs with such detailed organization plans seemed better able not only to articulate but also to pursue specific desegregation related goals.

The more effective DACs visited had a clear conception of the race desegregation assistance process and were selective in choosing districts where they could anticipate a favorable impact in contrast with other DACs which attempted to provide substantial services to all districts requesting assistance. Also, the evaluation found that the more effective DACs were more active in conducting needs assessments. These DACs tend to work more closely with their client districts and to conduct the needs assessment activity as part of a plan for uncovering desegregation-related needs.

The new regulations assist DACs in targeting rather than diffusing services, as discussed earlier in this section. The new regulations do not substantively increase the weight given to DAC organizational characteristics in rating applications from DACs. Also, two former application requirements have been deleted: (1) that DAC applications include LEA letters requesting assistance, and (2) that a desegregation needs assessment of LEAs in the service area be conducted.

SEA Title IV race desegregation units develop and disseminate materials, interpret Federal desegregation guidelines, and obtain statistical information to assist in identifying desegregation problems. SEAs also conduct the training and technical assistance activities related to information dissemination (including minority job recruitment). More complex SEA

2/ Project effectiveness was measured with a series of rating scales completed by interviewers after they conducted site visits at the project and school districts served by the project. Ratings were made of the effectiveness or impact of a project on the policies, programs, personnel, institutional structure, and training aspects of the districts served by the project. Effectiveness ratings were correlated with other characteristics of projects (in this case, organizational characteristics) separately for DACs and the other categories of Title IV projects.

technical assistance activities were effective only in States where there is a commitment by the State to school desegregation both in terms of a clear State policy and specific goals and objectives for its enforcement. Two of the thirteen Title IV SEA units visited had such an operational commitment to desegregation and those were judged as the most effective by all measures of effectiveness that were used.

The new regulations provide substantial points in the criteria for awards for the SEA commitment to desegregation and require a minimum of 60 out of 100 total points for funding.

Training Institutes (TIs) for race desegregation tend to provide specialized activities relating to the training of school personnel. TIs essentially structure themselves to meet specific district needs. TIs can be effective if the district has a favorable desegregation environment but have no leverage and are not effective in less amenable districts. As noted at the start of this section, the new regulations direct TI services only to districts recently adopting desegregation plans and require that training be related to desegregation.

The evaluation found that the success of the former program of direct grants to LEAs for race desegregation was dependent upon a favorable desegregation environment within the district. Without such a commitment the advisory specialist lacked influence to deal with desegregation issues. Criteria for the new discretionary LEA awards for race desegregation are not specified in detail in the new regulations.

Ongoing and Planned Evaluation Studies

"Title IV, Civil Rights Act Exploratory Evaluation" conducted by DHEW staff. Due early 1981. This study will examine the various views on the goals and objectives of Title IV and make recommendations.

Sources of Evaluation Data:

1. Crocker, S., et al. Title IV of the Civil Rights Act of 1964: A Review of Program Operations (2 volumes). Santa Monica, California: Rand Corporation, 1976.

2. King, N.J., Thomas, M.A., & Graubard, M.H. Title IV of the Civil Rights Act of 1964: Expansion of Program Responsibilities. Santa Monica, California: Rand Corporation, 1977.

3. Mogin, B. The State Role in School Desegregation. Menlo Park, California: Sanford Research Institute, 1977.

4. Title IV and School Desegregation: A Study of a Neglected Federal Program. Washington, D.C.: U.S. Commission on Civil Rights, 1973.

For further information about program operations,

Contact: Riley Simmons
202-245-8465

For further information about studies of program effectiveness,

Contact: Robert L. York
202-245-7997

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Follow Through

Legislation:	**Expiration Date:**
Economic Opportunity Act of 1964 as amended by P.L. 95-568	October 1981

Funding History	Year	Authorization 1/	Appropriation
	1968		$15,000,000
	1969		32,000,000
	1970		70,300,000
	1971	70,000,000	69,000,000
	1972	70,000,000	63,060,000
	1973	70,000,000	57,700,000
	1974	70,000,000	53,000,000
	1975	69,000,000	55,500,000
	1976	60,000,000	59,000,000
	1977	60,000,000	59,000,000
	1978	60,000,000	59,000,000
	1979	70,000,000	59,000,000 2/
	1980	85,000,000	59,000,000 3/

Program Goals and Objectives

According to the authorizing legislation, the Follow Through Program provides "financial assistance to local educational agencies, combinations of such agencies and any other public or appropriate nonprofit private agencies, organizations, and institutions for the purpose of carrying out Follow Through programs focused primarily on children from low-income families in kindergarten and primary grades, including such children enrolled in private nonprofit elementary schools, who were previously enrolled in Headstart or similar programs." Further, the legislation provides that projects must provide comprehensive services which, in the judgment of the Secretary, will aid the continued development of the children.

1/ An authorization level was not specified prior to FY 71.

2/ Specified by a continuing resolution for FY 79 rather than by appropriation; re-authorizing legislation for FT had not been passed at the time of the HEW appropriations for FY 79.

3/ Conference committee recommendation. No appropriation at time of writing.

Follow Through is defined in its regulations as "an experimental community services program designed to assist, in a research setting, the overall development of children enrolled in kindergarten through third grade from low-income families, and to amplify the educational gains made by such children in Headstart and other similar quality preschool programs by (a) implementing innovative educational approaches, (b) providing comprehensive services and special activities in the areas of physical and mental health, social services, nutrition, and such other areas which supplement basic services already available within the school system, (c) conducting the program in a context of effective community service and parental involvement, and (d) providing documentation on those models which are found to be effective."

Comprehensive services and parental involvement are required in all projects. The experimental feature of the program has been the evaluation of a variety of educational models, sponsored by university or research institutions that have designed approaches to early childhood education. These sponsors are responsible for delivering and installing their models at local sites, and providing for continuous technical assistance, teacher training, guidance, and quality control. The focus of the experiment was upon the relative effectiveness of the alternative educational models. The overall goal was to add to our knowledge about what works and what does not work for children from low-income families.

An evaluation of the most frequently occurring models was completed in 1977 (see Program Effectiveness and Progress section for a summary of results). Since that time, HEW has been considering what direction the program should take. A recently completed program review (New Directions for Follow Through, October 1979) recommended that the program should have two objectives: to provide effective services to school children and to produce knowledge about which services are effective. The majority of local Follow Through projects would be managed to provide effective services but a small proportion (say 20%) would be managed to produce knowledge about what services are effective. The proposed shift from an experimental program to one in which a major goal is provision of effective services has broad implications. For further details about the redirection of Follow Through, see the section on Program Effectiveness and Progress.

Program Operations:

The major portion, approximately 81 percent, of the Follow Through FY 79 appropriation was used for grants to 153 local educational agency projects which include an educational component and a variety of non-instructional services to children.

The next largest portion, approximately 10 percent, of the Follow Through appropriation was distributed as grants to 19 model sponsors.

Approximately five percent of the Follow Through appropriation was spent to fund expanded demonstration activities in twenty-one sites (know as resource centers) judged exemplary by the OE/NIE Joint Dissemination Review Panel.

About one per cent of the Follow Through appropriation was spent on evaluation contracts. The remaining three percent of the Follow Through monies was used for program related activities such as supplementary training of para-professionals, grants to states to provide technical assistance to local school districts operating Follow Through projects, and for hiring subject specialists to provide technical assistance to Follow Through projects.

Program Scope:

In FY 1979, more than 70,500 children in kindergarten through third grade participated in Follow Through at more than 600 elementary schools across the country. The program emphasizes community and parental involvement and encourages the focusing of available local, State, private, and Federal resources on the needs of Follow Through children. The Follow Through program is comprehensive in scope and encompasses instructional and non-instructional services. The most recent detailed cost data, collected in 1976, shows that on the average, from federal sources, about $800 more per pupil was spent to educate Follow Through children than local non-Follow Through children. The largest portion (63%) went for salaries of LEA staff such as teacher aides, project directors, and teachers. Of the remainder, 19% was spent on providing comprehensive services, 13% on model sponsors, and 5% on facilities and materials.

Program Effectiveness and Progress:

The goal of the Follow Through national evaluation was to identify effective educational approaches for low income children in kindergarten through third grade. Key findings from the evaluation completed in 1977 can be summarized as follows:

- The effectiveness of most Follow Through models in terms of student achievement scores varied substantially among the sites using that model; overall model averages across sites varied little in comparison.

- Several models that emphasized basic skills showed greater effectiveness in helping children achieve these skills; children in these models also tended to have higher scores on affective measures, such as an index of self-esteem.

- Many models showed no greater effectiveness overall than the programs for comparison children, who tended to have received other compensatory education, such as Title I services.

- The cost per child in Follow Through is high relative to other federal compensatory education programs.

- There was large across-site variability in price-adjusted costs of the same classroom model.

The national evaluation focused on assessing outcome effects for children in 16 sponsored models, plus some unsponsored sites. The performance of Follow Through children, grouped at the site level, was compared to that of children from similar socio-economic backgrounds who did not participate in Follow Through. Because the comparison children were chosen after the program began, in some sites they were not very well matched to the Follow Through participants. Interpretation of the results was further complicated by the fact that comparison children also often received supplementary services similar to but in lesser amount than Follow Through children. The effects of the models were assessed over three cohorts (entering groups) of children on a variety of measures, including reading, mathematics, spelling, language arts, abstract reasoning, and self-esteem.

Upon completion of this evaluation, HEW reconsidered the purpose and operation of the program and concluded that it should shift from knowledge production to a mix of knowledge production and delivery of effective services to children with emphasis on the latter. To accomplish this shift, new program regulations will have to be published. Tentatively, the following important changes would be made: 1979 school district grantees would not necessarily be refunded; "service projects" could choose to dissociate from sponsors; any SEA, LEA, current sponsor, or other organization would be eligible to participate in the knowledge production portion of the program; knowledge production projects would not necessarily be associated with sponsors, SEAs would no longer be funded to provide technical assistance and dissemination activities; and resource centers would be redirected.

Ongoing and Planned Evaluation Studies:

The following on-going projects will contribute to plans for new research and evaluation activities which will test new and better ways to deliver effective services to Follow Through children:

- An examination of sources of existing data on post third grade effects of Follow Through projects and on alternative educational approaches which might serve as future model sponsors.
- Consideration by six of the most successful previous model sponsors of ways to improve the knowledge production portion of the program, including assessment of outcome measures, potential research designs, and site management strategies, and how to overcome implementation problems.
- A pilot study of implementation processes, measures, and child outcomes in one site which has newly chosen to affiliate with a sponsor.
- Investigation of the feasibility of a joint model combining aspects of two present sponsors with divergent ideas toward compensatory education.

Follow Through is in the process of developing and testing a system for monitoring the performance (efficiency, effectiveness, and responsiveness) of service projects and in the process of developing plans for evaluation of pilot projects.

Sources of Evaluation Data:

The Follow Through Planned Variation Experiment

Volume I. A Synthesis of Findings. Washington, D.C.: DHEW USOE, in preparation.

Volume II-A. National Evaluation: Patterns of Effects. Cambridge: Abt Associates, Inc., 1977.

Volume II-B. National Evaluation: Detailed Effects. Cambridge: Abt Associates, Inc., 1977.

Volume II-C. National Evaluation: Detailed Effects. Cambridge: Abt Associates, Inc., 1977.

Volume II-C. Appendix. Cambridge: Abt Associates, Inc., 1977.

Volume III. Sponsor Evaluation: Patterns of Effects. Washington, D.C.: Follow Through Sponsors, in prepration.

Volume IV. Cost Analysis. Bethesda, Maryland: RMC Research Corporation, 1977.

Volume V. A Technical History of the National Follow Through Evaluation. Cambridge: The Huron Institute, 1977.

Volume V. Appendix: Analysis of Interim Follow Through Reports. Cambridge: The Huron Institute, 1977.

Follow Through Exploratory Evaluation. Washington, D.C.: HEW Assistant Secretary of Planning and Evaluation, in draft, July 12, 1979.

New Directions for Follow Through. Washington, D.C.: HEW Assistant Secretary for Planning and Evaluation, in draft, October 11, 1979.

For further information about program operations,

Contact: Rosemary Wilson
(202) 245-2500

For further information about studies of program effectiveness,

Contact: Carl Wisler
(202) 245-7997

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

School Assistance in Federally Affected Areas (SAFA):
Maintenance and Operations

Legislation:	Expiration Date:
PL 81-874, as amended by PL 95-561	September 30, 1983 1/

Funding History	Year	Authorization	Appropriation
	1961	$217,300,000	$217,300,000
	1962	247,000,000	247,000,000
	1963	282,322,000	282,322,000
	1964	320,670,000	320,670,000
	1965	359,450,000	332,000,000
	1966	388,000,000	388,000,000
	1967	433,400,000	416,200,000
	1968	461,500,000	486,355,000
	1969	590,950,000	505,900,000
	1970	$1,150,000,000	505,400,000
	1971	935,295,000	536,068,000
	1972	1,024,000,000	592,580,000
	1973	1,025,000,000	635,495,000
	1974	989,391,000	574,416,000
	1975	980,000,000	636,016,000
	1976	995,000,000	684,000,000
	Transition Quarter		70,000,000 2/
	1977	1,090,192,000 3/	768,000,000
	1978	1,135,000,000 3/	775,000,000 4/
	1979	1,309,166,000 3/	786,100,000 4/
	1980	1,428,933,000 3/	772,000,000 5/

1/ Provisions pertaining to "A" category pupils and children attending schools on Federal installations are permanent.

2/ Includes $15 million in Transition Quarter funds for fiscal year 1977 start up costs.

3/ Does not include disaster provisions.

4/ Includes appropriation for major disaster payments.

5/ Recommendation of the conference committee, July 31, 1979.

Program Goals and Objectives

PL 81-874 provides assistance to local school districts for current operating costs of educating children in areas where enrollments and local revenues are affected by federal activities. The purpose of the legislation is to minimize the fiscal inequities caused by both the presence of tax-exempt Federal lands and the burden of providing public school education to children who reside on Federal property or have a parent who is either employed on Federal property or a member of one of the uniformed services. The law also provides for the full cost of educating children residing on Federal property when State law prohibits the expenditure of State funds for the schooling of such children or where no local education agency is able to provide suitable free public education. Indian Lands and low-rent housing are included as eligible Federal property under this law. Major and pinpoint disasters must have occurred prior to 9/30/78 to be eligible for assistance under PL 81-874. Although the Education Amendments of 1978 did not extend that date, provision of assistance was extended through September 30, 1979 by Section 414 of General Education Provision Act. Subsequently, PL 96-46, dated 8/6/79, extended the eligibility date for disasters to 10/1/83.

P.L. 874 is the closet approximation to general aid from the Federal government available to eligible school districts. In general, SAFA funds become part of the general operating accounts of LEAs. However, Impact Aid payments for handicapped children of military personnel and handicapped children residing on Indian lands must be used for special programs to meet the needs of these children.

Program Operations

Payments are made directly to local education agencies (or to Federal agencies where they are operating schools). An entitlement is the product of the number of federally connected pupils and a percentage of an agency's local contribution rate (LCR, the agency's share of per pupil costs) and is intended to compensate for the burden imposed by the various types of federally connected children at a rate which approximates locally raised educational costs. The local contribution rate may be based either on comparable districts' per pupil costs derived from local revenues, or alternatively, a minimum rate of the greater of one-half the State or national average per pupil cost.

The percentage of the local contribution rate to which an agency is entitled varies for over a dozen subcategories of federally connected children within the broad "A" (children whose parents live and work on Federal property) and "B" (children whose parents live or work on Federal property but not both) classifications. This reflects the notion that different types of federally connected children impose differing degrees of burden on the districts. Federally connected children are classified according to residence and employment of a parent.

Applications for payments are submitted to the Commissioner through the State education agency which certifies that information on the local LEA's application is accurate insofar as records in the State office are concerned.

The following represent the principle changes in the Impact Aid Program brought about by the Education Amendments of 1978 (P.L. 95-561). All changes except the first become effective in FY 80. All changes except those associated with low-rent housing children and the tier system (a system which allocates appropriations on a priority basis in three steps) represent an increase in entitlements.

1. The elimination of the absorption provision (effective FY 79). The absorption provision required that certain districts bear some of the Federal burden.

2. The extension of the increased local contribution rate provision to include more school districts.

3. The extension of the notion of "heavily impacted" to include more school districts by redefining heavily impacted districts from those with 25% or more federally connected "A" pupils to those with 20% or more of such pupils.

4. The increase in entitlements for Indian children.

5. The increase in payments of entitlements for low-rent housing children by placing them on the same basis as other federally connected children. Also, the requirement to use these funds in Title I programs was eliminated.

6. The division of tier 2 into a 65 percent portion and a 35 percent portion in order to provide discretion in funding to appropriations acts which formerly had to fund all of tier 2 or none of it.

In addition, the law dropped two of the four hold harmless provisions instituted by the Education Amendments of 1974 and continued the other two. The two provisions extended involve limiting reductions in payments resulting from entitlement changes for out-of-county and out-of-State "B" children and limiting reductions in payments as a result of specific military base closings. Funds for payment of both of these hold harmless provisions are to be reserved before payments are made for the other sections. Also enacted was a new hold harmless provision guaranteeing 90% of a previous year's payments, a provision broadening the definition of Federal property to include tax free foreign-government-owned property, and a provision enabling eligible districts to receive up to 75% of their previous year's payments during the first 30 days of the new fiscal year.

Program Scope

In 1979, awards were made to approximately 4,300 school districts on the basis of 2,375,000 school children. Included were payments to other

Federal agencies maintaining schools for 40,000 pupils. Since the funds are available for the general operating accounts of school districts, some or all of the 24 million children enrolled in SAFA-aided school districts could conceivably benefit from the aid provided by the program. Funds were provided for disaster assistance in Fiscal Year 1979 in the amount of $12 million.

Federal payments on the average represented about 2 percent of the total operating costs of eligible districts in 1979, with a range of less than 1 percent to more than 90 percent.

Program Effectiveness and Progress:

The most extensive assessments of the Impact Aid Program include a 1965 evaluation conducted by the Stanford Research Institute, a 1969 study by the Battelle Memorial Institute, a 1976 report by the General Accounting Office, and a 1978 assessment of the program by DHEW. Each of the studies concentrated on what are, under the current law, Sections 3(a), 3(b), and 5. None of these studies found fault with the basic structure of the program--providing payments for federally connected children and distinguishing between "A" and "B" children. However, all the studies found aspects of the program which limit its effectiveness in compensating for federally imposed burdens. Since many of the previous studies' results are consistent with the 1978 DHEW study, only the findings of this most recent study are described. Furthermore, the DHEW study used data collected subsequent to program changes resulting from the Education Amendments of 1974 and therefore was able to evaluate the effects of these amendments.

The DHEW study addressed three major issues:

- Are school districts adequately compensated for federally imposed burdens?
- Are Impact Aid funds equitably distributed in terms of district needs and Federal impact?
- Does Impact Aid interfere with State equalization programs?

The study's findings of the impact of the 1974 reform in 1976 were:

- Compensation for federally imposed burdens was still somewhat excessive, especially for out-of-district B children.
- Program funds were still inequitably distributed and inefficiently targeted.
- Payments were still not well integrated with State equalization programs.

- Under a "fully reformed" program (dropping the hold harmless provisions still in effect in 1976 and fully implementing the absorption provision) improved targeting of funding would occur.

Compensation for federally imposed burdens were still found to be excessive because:

a) Payments are being made for public housing and out of county "B" children who do not represent a Federally imposed burden on school districts.

b) The comparable district method of computing local contribution rates, which does not provide a good approximation of what local education costs would have been in the absence of Federal activities, was still being employed.

c) The minimum rate of one-half the national average per pupil expenditure, which bears no relationship to local education costs, was still utilized.

Program funds were still inequitably or inefficiently distributed because:

a) Nearly 20 percent of Impact Aid funds were paid to over 2,500 low impact districts with fewer than 10 percent federally connected children.

b) These low impact districts tend to be at or above state average property wealth and could replace fund losses with only minor tax rate increases.

c) Heavily impacted districts (federal enrollment of 50% or more) continued to demonstrate evidence of real burden from Federal activity.

Impact Aid payments were found to be minimally integrated with State equalization programs because:

a) The equalization standards to be met before integration can take place are difficult to meet.

b) There is little or no incentive for States to meet the standards.

c) States with modest equalization gains are not given the opportunity to achieve further gains by offsetting payments to relatively wealthy districts. Some States which have made equalization gains are nonetheless unable to meet the equalization standards. As a result impact aid payments to wealthy districts in these States will increase interdistrict disparities.

The preceding results suggest that in Fiscal Year 1976 the impact aid reforms of 1974 were only partially successful in addressing most "pre-reform" criticisms of the program. Nonetheless, the DHEW study found that if the 1974 reform hold harmless provisions were dropped and the absorption component were fully operational, this "fully reformed" program funded through tier 2 would improve targeting of funds because:

a) The share of total Impact Aid dollars received by lightly impacted districts would have decreased.

b) Heavily impacted district shares would have increased.

c) Per pupil impact aid expenditures would have increased for the heavily impacted districts and declined for lightly impacted districts.

d) "B" category payments would have declined while "A" category payments would have increased enough to offset "B" category losses and keep total per pupil payment rates at pre-reform levels.

Additional changes examined by the DHEW study for the 1978 reauthorization process included:

a) Elimination of out-of-county payments and/or payments for public housing children.

b) Basing LCRs on a State's locally derived expenditures per pupil or one-half the State average expenditures.

c) Extending absorption to all districts.

d) Dropping the equalization standards and permit States to offset a portion of Impact Aid payments going to districts with per pupil wealth in excess of 25% of the State average.

The study indicated that these proposals would produce budgeting reductions which would affect heavily impacted and property poor districts the least and lightly impacted and property rich districts the most. The proposals would also reduce the need for the tier system and thereby produce an administratively simplified program.

In commenting on the 1978 revisions of the impact aid program made by Congress, the authors of the DHEW study pointed out that the Congressional:

> "revisions reflect an approach opposite to that proposed in (their study). Rather than building on the 1974 reforms by such means as tightening definition of federally connected children or strengthening the absorption provision, the 1978

> revisions broadened program coverage and increased payments for several categories of children and districts....The program will now provide even more funds for children who we contend do not represent a genuine federally imposed burden on a school district; the problems with respect to the calculation of local contribution rates still remain; and as a result of the revisions, a greater percentage of total funds will benefit lightly impacted districts." *

The controversy surrounding the program is not over. Congress in the 1978 amendments has authorized a Presidentially-appointed commission to review the program and propose recommendations for change.

Ongoing and Planned Evaluation Studies

To date there are no ongoing or planned DHEW studies. The Presidential Commission will no doubt undertake her studies of the impact aid program.

Sources of Evaluation Data

Current

L.L. Brown III, A.L. Ginsburg, and M. Jacobs, Office of the Assistant Secretary for Planning and Evaluation, Education, Planning Staff, U.S. Department of Health, Education and Welfare, Impact Aid Two Years Later, March 15, 1978.

L.L. Brown, III, A.L. Ginsburg, and M. Jacobs, "Federal Impact Aid to School Districts." J Ed. Fin., Winter, 1979, pp. 273-294.

Other

Stanford Research Institute. Effects of Federal Installations Phase-outs Upon School Districts. Menlo Park, California: Stanford Research Institute, 1965.

Battelle Memorial Institute. School Assistance in Federally Affected Areas: Study of Public Laws 81-874 and 81-815, published by Committee on Education and Labor, H.R. 91st Congress, 2nd Session, GPO, 1970.

Commissioner of Education, U.S. Department of Health, Education and Welfare, Administration of Public Laws 81-874 and 81-815. GPO, 1976.

Comptroller General of the United States, Assessment of the Impact Aid Program. Report to the House Committee on Education and Labor, October 15, 1976.

For further information about program operations,
Contact: Mr. William Stormer
202-245-8427

For further information about studies of program effectiveness
Contact: Mr. Peter Stowe
202-245-8364

---

*Brown et al. (1979), see the section; Sources of Evaluation Data.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

School Assistance in Federally Affected Areas (SAFA): Construction

Legislation:	Expiration Date:
Public Law 81-815 as amended by Public Law 95-561	June 30, 1983 1/

Funding History:	Year	Authorization	Appropriation
	1961	$63,392,000	$63,392,000
	1962	61,942,000	61,942,000
	1963	63,686,000	63,686,000
	1964	60,346,000	23,740,000
	1965	58,400,000	58,400,000
	1966	61,080,000	50,078,000
	1967	52,937,000	52,937,000
	1968	80,000,000	22,937,000
	1969	80,000,000	14,745,000
	1970	80,407,000	15,167,000
	1971	83,000,000	15,000,000
	1972	91,250,000	19,300,000
	1973	72,000,000	25,910,000
	1974	72,000,000	19,000,000
	1975	72,000,000	20,000,000
	1976	70,000,000	20,000,000
	1977	70,000,000	25,000,000
	1978	70,000,000	30,000,000
	1979	70,000,000	30,000,000
	1980	Indefinite	33,000,000 2/

Program Goals and Objectives:

Public Law 81-815 is designed to provide local education agencies, enrolling children whose parents work on or live on Federal property, with financial aid for school construction under specified conditions: for construction of urgently needed minimum school facilities in school districts which have had substantial increases in school membership as a result of new or increased Federal activities (Section 5); where provision of the non-Federal share of construction imposes a financial hardship (Section 8); and for the construction of temporary school facilities where a Federal impact is expected to be temporary (Section 9).

1/ Provisions pertaining to Section 5(a)(1) pupils and Sections 10 and 14 are permanent.

2/ Conference recommendation.

The law also directs the Commissioner to make arrangements for providing minimum school facilities for children living on Federal property if no tax revenues of the State or its political subdivisions may be spent for their education or if the Commissioner finds that no local education agency is able to provide a suitable free public education (Section 10). Assistance is authorized for construction of minimum school facilities in local education agencies serving children residing on Indian lands by Sections 14(a) and 14(b), and Section 14(c) authorizes assistance to financially distressed local education agencies which have substantial Federal lands and substantial numbers of unhoused pupils. Emergency aid is available to LEAs for the reconstruction of school facilities destroyed or seriously damaged in school districts located in declared major disaster areas and in certain districts affected by a pinpoint disaster (Section 16).

Program Operations:

All grants are made to qualified school districts on the basis of applications. The amount of payment to a local school district under Section 5 of the Act depends on the categories of children in the district eligible to be counted, as follows:

Category (Section 5)	Rate of Payment (Percent of per pupil cost of constructing minimum school facilities)
Children who reside on Federal property and have a parent in one of the uniformed services, or children residing on Indian lands	100
Children residing on Federal property with a parent employed on Federal property in the same State as the LEA	90
Children with a parent in one of the uniformed services	50
Children residing on Federal property	45
Children residing with a parent employed on Federal property in the same State as the LEA	40

For other sections of the law, full costs of construction are authorized, limited to actual cost of providing minimum school facilities for children who would otherwise be without such facilities.

Since Fiscal Year 1967, appropriations for Public Law 81-815 have been substantially below the amounts required for funding of all qualified applicants under the law. The basic law requires that disaster assistance under Section 16 be funded from available funds (these payments may then be covered by supplemental appropriation requests) and that Sections 9 (temporary Federal impact), 10 (school construction on Federal property), and 14(a) and (b) (children residing on Indian lands) will receive priority over other provisions. The law requires that eligible applications be ranked within each section on the basis of relative urgency of need and that available funds be assigned on this basis. The ranking by relative urgency of need is based on the percentage of federally connected children eligible for payment in a school district and the percentage of "unhoused" pupils in the district. "Unhoused" pupils are those in membership in the schools of a district over and above normal capacity of available and usable minimum school facilities.

In recent years, appropriation language has directed available funds toward the most urgent needs for school facilities. Funds have been directed toward high priority projects under Section 5 (heavily impacted local school districts), Section 9 (facilities needed because of temporary influx of Federally-connected children) Section 10 (schools on Federal property), and Section 14 (schools for children residing on Indian lands). The legislative allocation in recent years was as follows:

	(amounts in millions)		(Conference
	1978	1979	1980 recommendations)
Section 5	4.0	1.0	3.0
Section 9	5.0	-	-
Section 10	10.5	13.0	13.0
Section 14	10.5	16.0	17.0

Program Scope:

Since 1951, Public Law 815 has provided more than $1.8 billion for school construction to house more than 2.8 million pupils.

Only the most urgent projects at the top of the priority ratings for the different sections are funded under current appropriation levels. In recent years, available funds have been targeted to the needs of Sections 10 and 14. Substantial increases have been provided for these sections, although the backlog of eligible applicants continues to increase. In addition more than $36 million has been obligated to assist in reconstruction of school facilities destroyed or seriously damaged by a major disaster since such assistance was authorized in 1966.

In 1979 available funds for Section 10 were used for emergency repairs to remove life safety hazards and architectural barriers to the handicapped in existing facilities on Federal property. Only one project for upgrading and new construction to meet the life safety and handicapped standards could be funded. Funds under Section 14 were used to support projects approved in prior years.

Funding history for the past 10 years is as follows:

Section and Fiscal Year	Number of Projects	Amount Reserved 1/	Classrooms Provided 1/	Pupils Housed 1/
Section 5, 8, 9				
1969	123	$69,803,905	2,416	98,390
1970	69	1,004,911	7,801	241,770
1971	3	568,915	277	6,335
1972	-	-	116	3,480
1973	9	9,355,242	193	5,145
1974	23	17,319,924	223	6,223
1975	3	7,404,240	94	2,768
1976	3	3,628,788	12	1,690
1977	7	7,160,802	49	1,960
1978	5	1,977,850	-	-
Section 14				
1969	11	$ 2,071,858	20	505
1970	-	2,603,869	0	0
1971	4	4,346,095	30	597
1972	1	2,448,601	5	162
1973	1	930,000	10	120
1974	8	9,639,583	135	2,981
1975	-	8,073,672	-	-
1976	-	7,229,687	-	-
1977	5	7,066,502	250	7,000
1978	1	10,552,990	-	-
Section 10				
1969	20	$14,469,886	137	3.704
1970	11	1,166,197	37	746
1971	14	12,651,927	55	4,152
1972	9	10,151,252	99	2.390
1973	1	18,000	-	-
1974	6	505,690	3	70
1975	-	811,291	-	-
1976	-	937,030	-	-
1977	-	7,659,125	-	-
1978	25	6,904,958	-	-

1/ Funds reserved in one year pay for costs of projects initiated in prior years as well as costs of new projects. Classrooms and pupils housed reflect project completions during the year, for which most of the funds would have been reserved in prior years.

Program Effectiveness and Progress:

A backlog of eligible applications has accumulated since 1967, the last year for which appropriations were adequate to fund current needs. The result is a backlog of 567 project applications estimated to require $596 million to fund. This backlog, at the end of 1978, by section, is as follows:

	Amount 1/	Number of Projects
Section 5	$112 million	320
Section 10	244 million	127
Section 14	240 million	120

1/ Estimates are subject to confirmation of current needs as well as increases in costs for construction and increases to meet current school housing standards.

In recent years, available funds have been directed toward high priority needs of Section 10 and Section 14 (a) and (b), with some funding for Section 5 to meet a temporary Federal impact (Section 9). An in-house study of current construction needs under Section 10 was recently completed. Some of the entitlements making up this backlog may not represent current needs, which must be demonstrated before actual funding can occur, and some represent low priority applications with relatively small numbers of unhoused pupils. However, the backlog of eligible applications is growing with estimated entitlements for the current year of $70 million.

An evaluation of Public Law 81-815 was contained in a study by the Battelle Memorial Institute, completed in 1969. The study concluded that with its system of project by project approval, the administration of Public Law 815 is unnecessarily complicated. Furthermore, "because capital projects are easily deferrable in the Federal budget, Public Law 815 provides for uncertain levels of support based upon a priority system that tends to penalize a district that proceeds on its own to provide classrooms for Federally connected students." This study recommended that the capital cost program (Public Law 815) applicable to the usual situations be merged with the operating cost program (Public Law 874) in order to simplify its administration and provide assistance for capital costs on a current basis. The recommendations have not been adopted.

A study entitled "In-depth Study of Federally-owned School Facilities Provided Under Section 10 of Public Law 81-815" was conducted by the Office of Education. Completed in early 1978, the study found that a total of $200 million measured in 1976 dollars was needed to:

a) upgrade exisitng Section 10 school facilities to meet life safety and handicapped access standards ($10.5 million);

b) replace facilities where upgrading could not meet life safety and handicapped access standards ($60 million);

c) adequately house the pupils enrolled in these schools.

The study's findings have been used as a basis for making budgeting recommendations to Congress.

Ongoing and Planned Evaluation Studies:

Currently the Division of Planning and Budgeting of the U.S. Office of Education is undertaking a study of the life-safety hazards of schools serving Indian children. No other studies are ongoing or planned.

Sources of Evaluation Data:

1. Battelle Memorial Institute, School Assistance in Federally Affected Areas: A Study of Public Laws 81-874 and 81-815 published by the Committee on Education and Labor, H.R. 91st Congess, 2nd Session, GPO, 1970.

2. U.S. Department of Health, Education, and Welfare. Administration of Public Laws 81-874 and 81-815 . Washington: Goverfnment Printing Office, 1978.

3. In-Depth Study of Federally-owned School Facilities Provided Under Section 10 of Public Law 81-815, Department of Health, Education, and Welfare, 1978.

For further information about program operations,

Contact: William Stormer
245-8427

For further information about studies of program effectiveness,

Contact: Pen Jackson
245-8857

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Allen J. Ellender Fellowships

Legislation:

Public Law 92-509, as amended
by P.L. 94-277

Expiration Date:

June 30, 1981

Funding History:

Year	Authorization	Appropriation
1973	$ 500,000	$ 500,000
1974	500,000	500,000
1975	500,000	500,000
1976	500,000	500,000
1977	750,000	750,000
1978	750,000	750,000
1979	1,000,000	1,000,000
1980	1,000,000	1,000,000 [1/]

Program Goals and Objectives:

Public Law 92-506 authorizes the Commissioner of Education to make grants to the Close Up Foundation of Washington, D.C., to help increase understanding of the Federal Government by secondary school students, their teachers, and the communities they represent. Federal funds provide grants to disadvantaged secondary school students and their teachers to support their participation in the Foundation's Washington public affairs program.

Program Operations:

Program funds are designated by statute as a grant to the Close Up Foundation of Washington, D.C. The program is a Washington-based political education program for secondary school students and their teachers. It consists of a week-long series of meetings and workshops with members of Congress, members of the Executive and Judicial branches of government, Congressional committee staff members, lobbyists, reporters, foreign government representatives, and others.

The Ellender fellowship funds are supplemented by other public and private funds. The Foundation program is community-based in that local interest and support is required for participation in the program. Effort is made

---

1/ House and Senate Conference level. There has been no appropriation at the time of this writing.

to match the Ellender fellowship funds on at least a 50 percent basis. Once a community is chosen to participate, an Ellender fellowship is awarded to a secondary school student of low or moderate income and a teacher from each secondary school in the community. Others receive grants from other sources of funds, pay their own expenses, or earn funds in school and community projects to cover expenses. Thus a large representative group of students and teachers from a community come together from the Washington program.

Program Scope:

Ellender fellowship grants were made to about 2,500 students and teachers in 1979. These grants included costs of room, board, tuition, and insurance. These costs averaged about $305 per participant, plus transportation costs. The 2,500 Ellender Fellowship recipients were part of some 12,000 students and teachers from the communities across the nation who participated in the program.

Program Effectiveness and Progress:

The Close Up Foundation contracted with Social Education Associates in 1974-75 to conduct a preliminary impact assessment. On measures of effective change such as political self-confidence and interest in political affairs, students were shown to have undergone positive changes of a statistically significant nature. The program has also generated numerous State and local acttivities which have involved many additional students and teachers in participating communities.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data

Perspectives 1978. Washington: Close Up Foundation, 1977.

To Extend Support of Allen J. Ellender Fellowships. (Hearing before the Subcommittee on Elementary, Secondary, and Vocational Education of the Committee on Education and Labor, House of Representatives, 94th Congress, 2nd Session. Hearing held in Washington: U.S. Government Printing Office, 1976.

For further information about program operations,

Contact: Norman Hearn
245-7969

For further information about studies of program effectiveness,

Contact: Pen Jackson
245-8857

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Indochinese Refugee Children Assistance

Legislation:	Expiration Date:
Indochinese Refugee Children Assistance Act of 1976, as Amended by Public Law 95-561	September 30, 1981

Funding History:	Year	Authorization	Appropriation
	1976	Indefinite	$15,000,000
	1977	"	18,500,000
	1978	"	0
	1979	"	0
	1980	"	0

Program Goals and Objectives:

The Indochinese Refugee Children Assistance Act of 1976 authorized grants to assist State and local education agencies in providing supplementary educational services to help refugee children achieve at a satisfactory level. The supplementary services authorized included, but were not limited to, English language instruction, other bilingual education services, and special materials and supplies. Additional basic instructional services, such as teachers, materials, and supplies directly attributable to the presence of the refugee children, and in-service training activities also qualified for support. The program was intended to provide temporary assistance.

Program Operations:

During the years the program was funded, each State was entitled to receive payments based on the number of eligible children in school. Each State was also eligible to receive funds for administrative costs. This allowance was set at 1 percent of the total State allocation. Local education agency entitlements were $300 per student for the first 100 students and $600 for each additional student and for students in excess of 1 percent of a district's total enrollment. Actual payments were about 10 percent less than these amounts due to insufficient appropriations.

The program was last operational in Fiscal Year 1978, utilizing funds from the 1977 appropriation cycle.

The Education Amendments of 1978 extended authorization for the program through 1981; children eligible to be counted for payment will be those admitted after January 1, 1977. The rate per pupil was changed to $450 and the State administrative allowance was increased to 5 percent.

Program Scope:

Congress appropriated $18.5 million in Fiscal Year 1977 to implement the program. The grant period of the authorization was July 1, 1976 through September 30, 1977. Due to the lateness of the appropriation, however, the grant period was extended through September 30, 1978. Most local education agencies used the funds for educational services to Indochinese refugee children during the 1977-78 school year. A few districts used the funds to reimburse themselves for expenditures incurred for eligible children during the 1976-77 school year.

Grants were approved to the 50 States, the District of Columbia, and Guam. State applications requested $20,435,376, requiring a reduction of 9.48 percent in actual payments to stay within the appropriation level.

States used 1 percent of the grant funds for administrative costs and the remainder for local education agency services for eligible children. Technical assistance was provided through contractual arrangements with the Center for Applied Linguistics Clearinghouse and through 5 Bilingual Centers.

Program Effectiveness and Progress:

There has been no evaluation of the program.

Ongoing and Planned Evaluation Studies:

There are no plans to evaluate the program.

Sources of Data:

Annual Report, Indochinese Refugee Children Assistance Program, 1977.
Report of the Task Force on Indochinese Refugee Children Assistance to the Deputy Commissioner, Bureau of Elementary and Secondary Education, May 1978.

For further information about program operations,

Contact: James Lockhart
(202) 245-3081

For further information about studies of program effectiveness,

Contact: Penrose Jackson
(202) 245-8857

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Equalization Assistance [1]

Legislation:	Expiration Date:
Section 426A of the General Education Provisions Act	September 30, 1983

Funding History:	Year	Authorization	Appropriation
	1979	$4,000,000	0
	1980	4,000,000	0
	1981	4,000,000	---
	1982	4,000,000	---
	1983	4,000,000	---

Program Goals and Objectives

The program set up by Section 426A has three major purposes: (1) to make grants to States to assist in developing and implementing plans to revise their systems of financing elementary and secondary education in order to achieve a greater equalization of resources among school districts; (2) to establish a national dissemination center to develop and disseminate models and materials useful to the States in planning and implementing revisions of their school financing systems and through national and regional training centers to provide expertise needed by the States in revising their financing systems; (3) to determine what has been learned through the use of Section 842 funds and disseminate these findings.

Program Operations

The Commissioner is authorized to establish national and regional technical assistance centers and to provide small discretionary grants to States making application for such grants. To date, however, no funds have been appropriated for the program and no program regulations have been promulgated. Nonetheless, the legislation requires that any State making application for a grant must (1) have the application approved by the State legislature, (2) match State funds with Federal funds, and (3) demonstrate how the development and implementation of plans to be undertaken with the grant will build upon the knowledge gained through the plans developed pursuant to Section 842, the predecessor program.

---

[1] The predecessor to this program is the program entitled Assistance to States for State Equalization Plans, Section 842 of P.L. 93-380.

Program Scope

Since no appropriations have been made, the Commissioner has not awarded grants to States or set up national and regional technical assistance centers to develop and disseminate models and materials useful to the States in planning and implementing revisions of their school finance systems.

Program Effectiveness and Progress

The program has not been operational to date.

Ongoing and Planned Evaluation Studies

Any plans for evaluation studies will be developed when the program becomes operational.

Sources of Evaluation Data

No evaluation studies have been conducted to date.

For further information about program operations,

Contact: Dr. Thomas Johns
(202) 245-8313

For further information about program effectiveness,

Contact: Peter Stowe
(202) 245-8364

G. EVALUATION OF POSTSECONDARY EDUCATION PROGRAMS

EVALUATION OVERVIEW FOR POSTSECONDARY PROGRAMS

The primary goal of the Office of Education's postsecondary education programs is the enhancement of educational opportunity. The strategy for achieving this goal rests principally on the provision of financial assistance to students and to institutions. Federal student assistance is awarded both directly, and indirectly through State agencies and educational institutions. In Fiscal Year 1978 the obligations for USOE's student financial assistance programs totaled almost $3.5 billion. They are expected to total $4.7 billion in Fiscal Year 1979. Institutional assistance is granted primarily through the Developing Institutions Program and the Special Programs for Disadvantaged Students. In Fiscal Years 1978 and 1979, institutional assistance amounted to over a third of a billion dollars.

Participation Rates

The movement through time of college enrollment rates for various subpopulations (defined by such characteristics as family income, sex, race, and ethnicity) describe the outcome of students' choices among the postsecondary school opportunities they face. But these enrollment rates say nothing about how these opportunities have been changing over time. Thus, while the financial barriers to low-income or minority students may have been reduced by increased financial aid availability, this effect of reduced financial barriers in terms of enrollment outcomes may be offset entirely, or in part, by an improvement in the employment opportunities for non-college educated individuals relative to those with a college education. This sort of phenomenon would most severely affect the student whose performance in college is most likely to be "marginal." The tables presented below should be interpreted with this sort of caveat in mind.

The participation of 18 to 24 year olds in collegiate education during the 1970's is presented in Table 1. The participation rates for subgroups tend to be more volatile than for the age group as a whole. Over this period, the participation rates for males have declined whereas those for females have increased. In contrast to rather constant participation rates for whites, participation rates for blacks and persons of spanish origin have increased rather markedly.

Table 2 presents the annual enrollment rates since 1967 of dependent students by family income categories measured in constant 1976 dollars. The only clear enrollment trend that seems to emerge during this period is a decline in the enrollment rates for males other than those in the lowest stratum. This decline is particularly pronounced for the two highest income strata.

TABLE 1

PERCENTAGE OF 18 TO 24 YEAR-OLDS ENROLLED OR PREVIOUSLY ENROLLED IN COLLEGE, BY SEX, RACE, AND SPANISH ORIGIN (IN THOUSANDS)*

	1970	1971	1972	1973	1974	1975	1976	1977
All Groups								
Enrolled	8,163	8,671	8,958	8,878	8,788	9,228	9,620	9,285
Total	20,632	21,613	22,160	22,522	22,530	22,959	23,380	23,336
%	39.6	40.1	40.4	39.4	39.0	40.2	41.1	39.8
Male								
Enrolled	4,278	4,576	4,713	4,619	4,486	4,663	4,691	4,556
Total	9,498	10,071	10,447	10,690	10,673	10,915	11,108	11,166
%	45.0	45.4	45.1	43.2	42.0	42.7	42.2	40.8
Female								
Enrolled	3,885	4,095	4,245	4,259	4,302	4,565	4,929	4,729
Total	11,134	11,542	11,713	11,832	11,857	12,044	12,272	12,170
%	34.9	35.5	36.2	36.0	36.3	37.9	40.2	38.9
White								
Enrolled	7,481	7,885	8,073	7,976	7,807	8,191	8,454	8,149
Total	17,900	18,737	19,155	19,322	19,356	19,666	20,003	19,912
%	41.8	42.1	42.1	41.3	40.3	41.7	42.3	40.9
Black								
Enrolled	513	668	753	748	803	883	981	927
Total	2,502	2,637	2,755	2,892	2,828	2,890	2,987	3,038
%	20.5	25.3	27.3	25.9	28.4	30.6	32.8	30.5
Spanish Origin								
Enrolled	n.a.	n.a.	214	278	358	368	383	327
Total	n.a.	n.a.	1,217	1,183	1,380	1,312	1,405	1,429
%	n.a.	n.a.	17.6	23.5	25.9	28.0	27.3	22.9

*Calculated from U.S. Bureau of Census, Current Population Reports, Series, P-20, No. 222, Table 14; No. 241, Table 13; No. 260, Table 12; Nos. 272, 286, 303, 319, 333, Table 13. n.a. indicates that the data is not available.

TABLE 2

PERCENT OF 18 TO 24 YEAR-OLD DEPENDENT FAMILY MEMBERS[a] ENROLLED IN COLLEGE, BY SEX AND FAMILY INCOME[b]

OCTOBER 1967 TO OCTOBER 1976

Family Income	Percent Enrolled 1967	1968	1969	1970	1971	1972	1973	1974	1975	1976	1977
$ 0- 8,525	20.0	22.5	24.8	20.8	22.8	22.6	20.1	20.3	23.5	22.4	22.6
$ 8,525-17,050	37.9	38.5	38.8	36.6	35.4	34.2	31.2	31.7	35.1	36.3	34.4
$17,050-25,575	51.9	50.7	50.6	48.4	46.4	44.2	42.7	41.4	45.4	47.5	46.4
$25,575+	68.3	63.0	65.2	61.7	61.8	56.9	56.6	57.5	59.6	58.2	59.8
All income groups	39.1	39.7	41.3	39.1	38.9	37.8	36.6	36.2	38.7	38.8	37.9
Male											
$ 0- 8,525	20.8	22.7	25.0	20.0	21.4	20.8	20.0	20.0	23.4	22.3	19.2
$ 8,525-17,050	43.4	42.2	41.2	38.3	36.8	33.8	30.4	31.8	35.2	36.3	31.2
$17,050-25,575	56.8	56.6	54.7	50.7	48.3	43.7	41.4	40.5	43.0	43.0	43.9
$25,575+	71.0	66.7	70.5	63.7	61.9	57.3	56.8	56.0	56.5	54.5	58.0
All income groups	42.9	43.5	44.4	40.9	40.0	37.8	36.5	34.9	36.7	35.3	35.7
Female											
$ 0- 8,525	16.7	21.3	23.1	20.2	23.4	23.8	20.3	21.2	27.3	26.3	26.2
$ 8,525-17,050	32.2	34.6	36.0	34.4	33.4	33.8	31.0	34.7	37.8	41.6	38.0
$17,050-25,575	46.3	44.6	46.0	45.5	44.0	45.0	44.3	42.7	48.5	53.1	49.0
$25,575+	65.2	58.3	58.6	59.3	61.6	56.4	56.4	59.5	63.6	63.1	62.2
All income groups	34.9	35.5	37.8	37.0	37.5	38.0	36.8	37.9	41.2	43.2	40.7

[a] A dependent family member is a relative of the primary family head other than the wife.

[b] Family income in 1976 dollars, civilian noninstitutional population.

Source: CBO calculations based on data supplied by the Census Bureau.
(Congressional Budget Office 1978a p. 9)
1977 figures directly from Larry Suter at the Census Bureau

Looking at both tables, one sees that except for dependent males whose family incomes were at least $17,050 (the two highest income categories), students in all other family income, sex, race and ethnic categories experienced declines in their enrollment rates between October 1976 and October 1977. These enrollment declines were coincident with an improvement in the labor market conditions generally, and specifically in those facing 16 to 19 year olds. Between 1976 and 1978 the unemployment rate for this group was declining (from 19.0 to 16.3 percent) at the same time the proportion of 16 to 19 year olds in the labor force was increasing (from 54.6 to 58.0 percent).

The preceding discussion has focused exclusively on collegiate enrollment. This was because no comparable time series data exists for the non-collegiate sector of postsecondary education, the proprietary and public technical/vocational schools.

Improving Access and Choice through Support of Students

Enhancing educational opportunity in the context of student financial aid programs is interpreted as removing financial barriers to a postsecondary experience for all of those capable of benefiting from it (access), and providing each potential student with as wide a variety of postsecondary education options as possible (choice). A number of premises further shape this strategy. These are: that parents bear the primary responsibility for financing their children's education, that students themselves should bear some of the burden of financing their education, that the portion of the financial burden borne by students should be distributed as equally as possible, and that the most needy students should be aided first.

OE administered programs provide three types of student assistance. Grant or non-returnable aid is provided by the Basic Educational Opportunity Grant (BEOG), Supplemental Educational Opportunity Grant (SEOG), and State Student Incentive Grant (SSIG) Programs. Obligations for these programs totaled $2.4 billion in Fiscal Year 1978. Loans are provided by the Guaranteed Student Loan (GSL), National Direct Student Loan (NDSL) and Health Education Assistance Loan (HEAL) Programs. The 1978 obligations for these programs amounted to $1.02 billion. 1/ Earnings are provided by the College Work-Study (CWS) Program. Obligations for CWS were close to half a billion dollars in Fiscal Year 1978 ($464 million).

The grant programs as opposed to the loan and work programs have come to serve distinct roles in the removal of financial barriers to access and the increasing choice. Grants are seen as providing the financial support less well off parents are unable to provide. Loans and work-study jobs, on the other hand, are seen as providing students with the means to finance

---

1/ This amount includes obligations only; actual loans made in Fiscal Year 1978 under these three programs exceeded $2 billion.

their share of the financial burden of attending a postsecondary educational institution that the private sector capital and labor markets do not provide. Offering the students both loan and work opportunities allows a choice in the timing of when they bear their share of the burden. Work allows them to bear it concurrently with their schooling. Loans allow them to put off the burden until after they finish their schooling.

Recipients of USOE's Student Financial Aid Programs

Table 3 displays the proportion of undergraduate students enrolled on at least a half-time basis, who were aided by one or more of USOE's student assistance programs (BEOG, SEOG, NDSL, GSL, and CWS [2]) by dependency status, family income, and category of institution being attended.

In Academic Year 1978-79, 34 percent of all undergraduates who were enrolled on at least a half-time basis were receiving some sort of student assistance from USOE. Of those attending 4-year public institutions, 35 percent were receiving aid; of those attending 4-year private institutions, 45 percent were receiving aid; of those attending 2-year public institutions, 26 percent were receiving aid; of those attending 2-year private institutions, 40 percent were receiving aid; and of those attending proprietary institutions, 60 percent were receiving aid. A greater proportion of students appear to be aided in the more expensive categories of postsecondary institutions.

As might be expected, among dependent students the proportion receiving student aid declined as family income increased. In the lowest income category ($0 - $5,999) 65 percent of the students received some form of assistance, whereas in the highest income category ($30,000 or more) only 8 percent of the students received some assistance. Among independent students, 37 percent received aid from USOE student assistance programs.

These percentages are based on unduplicated counts of students receiving aid from any of the five USOE programs. An analysis of data for first-time full-time freshmen, the results of which are presented in Table 4, gives a picture of the extent to which students received aid from more than one USOE program. Whereas BEOG recipients are least likely to be receiving aid from other USOE programs, if they are receiving other aid, it is most likely to be in the form of a CWS job. The vast majority of SEOGs recipients also receive assistance in the form of a BEOG grant. Just over half of all freshman with a CWS job also receive a BEOG grant. About the same proportion of freshman who are NDSL borrowers also receive a BEOG grant. There is, however, very little overlap between the loan programs. Only 15 percent of NDSL borrowers also have a guaranteed student loan, and only 12 percent of those with a guaranteed student loan are also NDSL borrowers.

---

[2] The State Student Incentive Grants (SSIG) Program is not included in this discussion, since it provides matching grants to States to be used in their own student-aid programs, and as such, cannot be differentiated from State funds by recipients or financial aid administrators.

TABLE 3

Proportion of Undergraduates Enrolled at Least Half-time Receiving Aid from at Least One of USOE's Student Assistance Programs* (Unduplicated Count) 1978-9

	Family Income	Percent
Dependent	$ 0- 5,999	65
	$ 6,000-11,999	66
	$12,000-17,999	47
	$18,000-24,999	27
	$25,000-29,999	22
	$30,000 or more	8
Independent		37
All		34

Institutional Category	Percent
4 - Year Public	35
4 - Year Private	45
2 - Year Public	26
2 - Year Private	40
Proprietary	60

---

*Note: These include only the Basic Educational Opportunity Grants, Supplemental Educational Opportunity Grants, National Direct Student Loan, Guaranteed Student Loan and the College Work-Study Programs; the State Student Incentive Grants Program is not included.

Source: "Study of Program Management Procedures in the Campus-Based and Basic Grant Programs - Stage 2," Applied Management Sciences, Silver Spring, Maryland; funded by the Office of Evaluation and Dissemination, USOE.

TABLE 4

RATES OF PROGRAM OVERLAP IN STUDENT AID RECIPIENCY, FOR FIRST-TIME FULL-TIME FRESHMAN IN THE FALL OF 1978

o Of students receiving BEOGs,

20% received SEOGs,
28% received CWS,
20% received NDSLs,
17% received GSLs.

o Of students receiving SEOGs,

75% received BEOGs,
45% received CWS,
40% received NDSLs,
22% received GSLs.

o Of students receiving CWS,

53% received BEOGs,
23% received SEOGs,
30% received NDSLs,
23% received GSLs.

o Of students receiving NDSLs,

52% received BEOGs,
27% received SEOGs,
40% received CWS,
15% received GSLs.

o Of students receiving GSLs,

33% received BEOGs,
12% received SEOGs,
24% received CWS,
12% received NDSLs.

Source: "Participation in Federal Financial Aid Programs by Full-Time, First-Time Freshman in the Fall of 1978," C. D. Carroll, USOE, Office of Evaluation and Dissemination, Technical Paper 79-9, June 1979.

Comparable overlap rates are not currently available for sophomores, juniors and seniors. However, an analysis of data for the High School Graduating Class of 1972 (NLS 1972)[3] indicated that as a student progresses through his or her academic career the likelihood of having grant and/or loan assistance decreases, whereas the likelihood of having to work increases.

Measures of the Impact of Student Financial Aid Programs

The achievement of the access objective of the student financial assistance programs can be measured by the absolute size of the financial burden a student must bear if he or she is to attend a postsecondary institution. This "Student Burden" is the difference between the cost of attending an institution (tuition, fees, room, board, etc.) and the non-returnable aid the student receives from his family, the government or other sources (i.e. family contribution, grants and scholarships). Presumably, the Student Burden is financed by some combination of borrowing and work activity, and thus, for students attending postsecondary institutions it can be measured by the sum of their loans, earnings from term-time work, and savings from summer work.

Two aspects of the Student Burden can be used in measuring the impact of student aid programs on access. The first is the size of the Student Burden. Since the student should be free to choose between current and future work activity, it should not exceed reasonable term-time earnings and summer savings alone, or reasonable borrowing alone. The second important aspect of the Student Burden as a measure of program impact is the degree to which it is equal or unequal across need categories as measured by family resources for institutions of a given level of offering, control and quality. This may be interpreted as measuring the degree of equality of financial opportunity, which is derived from the basic policy premise that the burden borne by students should be as equal as possible.

The performance of the student financial aid programs with respect to the choice objective can also be measured in terms of the Student Burden. First relating to its size, are all postsecondary education options "affordable" in terms of the burden a student must bear regardless of his or her family resources? Whereas burdens may increase, can they still realistically be covered by available loans and work? Second, the performance with respect to the choice objective should also depend on the equality or inequality of the relative Student Burdens associated with different postsecondary options for students of differing financial circumstances. The degree of equality in relative burdens serves as a measure of the extent to which grant programs equalize the financial terms upon which prospective students choose among postsecondary options. Clearly, relative Student Burdens will be equal if the Student Burden associated with each education option is the same regardless of the student's family resources. An education option in this context can be defined by the total cost of attendance, or student expense budget.

---

[3] See "Changes in Financial Aid Packages During the Course of the College Career", C. D. Carroll and P. J. Kuch, USOE, Office of Evaluation and Dissemination, Technical Paper 79-7, June 1979.

Evidence Concerning the Impact of USOE's Student Financial Assistance Programs

Tables 5 and 6 display estimates of the mean expected family contribution, total grant aid received, and Student Burden borne by financial aid applicants, categorized by dependency status, family income for dependent students, and the cost (Table 5), or type (Table 6), of the institution being attended. The estimates of mean Student Burden are useful in assessing the impact of USOE's financial assistance programs. It should, however, be remembered that these estimates are derived from data on aid applicants only. They say nothing about the burdens of students who do not apply for aid, and what is more important, they say nothing about the Student Burdens that would have been faced by individuals who chose not to attend a postsecondary institution. It could be that the prospective burden for many of the latter would have been systematically greater than the numbers reported here.

A comparison of Student Burdens with what students can be reasonably expected to earn or borrow sheds light on the achievement of both the access and choice objectives of the student financial aid programs. As a reference, we can consider that a student working at the minimum wage for fifteen hours a week during the school year would earn approximately $1,350. Summer work could reasonably produce another $500 in savings. This implies that from work alone a student should be able to finance a Student Burden of $1,850, provided of course that jobs exist. Under the Guaranteed Student Loan Program all students are eligible to borrow up to $2,500 per year for three years, and "needy" students can be given loans by postsecondary institutuions of up to $2,500 in their first two years of study and another $2,500 in their second two under the National Direct Student Loan Program.

If access is taken to mean adequate financial resources to attend a 2-year public institution, the mean Student Burdens in Table 6 indicate that the access objective appears to have been fairly well achieved. For all except the independent student, the Student Burden could be easily financed by term-time work activity alone. The independent students' burden, although significantly higher, seems manageable even though independent students appear to be required to earn more or else borrow a few hundred dollars. Little is changed in this regard, if access is defined in terms of 4-year public institutions. Student Burdens at these schools are somewhat higher for most categories of students. Where they are higher they appear to be almost as easily affordable.

What about choice? How feasible are the Student Burdens at private and proprietary schools? Looking at Table 6, we see that the largest mean Student Burden is $3,379 (for independent students at proprietary institutions). A burden of this magnitude is almost $1,000 less than the sum of what can be reasonably expected in student earnings, $1,850, and annual student borrowing, $2,500. Where postsecondary education options are defined by their total cost in Table 5, the largest mean Student Burden is $4,288 (for independent students at institutions costing over $6,000). A burden this large is still less than the sum of what a student can borrow and can reasonably be expected to earn, $4,350.

Tables 5 and 6 present only mean Student Burdens; a fuller picture of the affordability of Student Burdens relative to either what students can earn or borrow is presented in Table 7. This table shows the results of a comparison of individual student burdens with the amounts students could reasonably be expected to earn during term-time, $1,350, earn during term-time and save from summer work, $1,850, or borrow, $2,500. 4/ The table indicates that all of the sampled students attending the lowest cost institutions ($0-2,500), presumably public 2-year and 4-year institutions, could have financed their Student Burdens with subsidized GSLP or NDSLP loans, and 97 percent could have financed their Student Burdens with work alone. Moving to the next most expensive category of institution ($2,501-3,000), 94 percent of the students could have financed their Student Burden with a subsidized loan alone, and 84 percent could have financed it by work alone. It is probably reasonable to assume that the access level institution nearest every student falls within these first two budget categories, supporting the conclusion that access, or more specifically financial access, has been fairly well achieved.

As one proceeds down Table 7 through more expensive categories of institutions, the percentages of students whose Student Burdens exceed allowable annual loan limits, let alone feasible earnings, increase rapidly. Nonetheless these students are attending institutions and it is reasonable to assume that students who are managing to attend more expensive institutions could have more easily attended less expensive institutions. So it appears that on the basis of what is presented in this table and in the two preceding tables that a considerable degree of real choice among postsecondary institutions exists for most students. But for many students this choice comes only at the price of much higher personal sacrifice in terms of Student Burdens, particularly where the independent student is concerned.

4/ Each cell entry indicates the percentage of aid applicants in the cell whose Student Burden exceeds the amount indicated at the left - $1,350, $1,850, and $2,500.

TABLE 5

Mean Expected Family Contribution, Grant Aid and Student Burden for Aid Applicants by Dependency Status, by Family Income, and by the Student Expense Budget of the Institution Being Attended: 1978-9

(in dollars)

Budget Category		Dependent Students by Family Income						Independent Students
		0 -5,999	$6,000 -11,999	$12,000 -17,999	$18,000 -23,999	$24,000 -29,999	$30,000 And Over	
0 - $2500	Expected Family Contribution*	209	349	521	872	1104	579	77
	All Grants	1093	1017	825	655	803	580	817
	Student Burden	353	381	631	607	985	842	624
$2501 - 3000	Expected Family Contribution*	374	548	840	1262	1179	359	209
	All Grants	1279	1253	855	494	458	201	1002
	Student Burden	1130	959	1072	1283	1146	2180	1527
$3001 - 4000	Expected Family Contribution*	347	507	760	1263	1852	1908	229
	All Grants	1735	1554	1176	688	625	730	1196
	Student Burden	1377	1429	1511	1510	1426	1401	2175
$4001 - 5000	Expected Family Contribution*	564	680	825	1579	2793	1884	563
	All Grants	2147	1857	1653	1066	798	438	1317
	Student Burden	1836	2015	2015	1918	1424	2220	2578
$5001 - 6000	Expected Family Contribution*	706	807	1043	1522	2671	2861	603
	All Grants	2467	2384	1974	1580	1413	823	1312
	Student Burden	2279	2217	2415	2312	1438	1784	3582
Over $6000	Expected Family Contribution*	1048	2151	1566	2808	3499	5533	1627
	All Grants	4819	3193	3078	2966	2406	1599	1502
	Student Burden	2209	2352	2508	2304	2126	1678	4288

Note: * The Expected Family Contribution is computed according to the Uniform Methodology, adjusted where appropriate so as not to be less than $1100 for a student living with parents.

Source: "Study of Program Management Procedures in the Campus-Based and Basic Grant Programs - Stage 2"; Applied Management Sciences; Silver Spring, Maryland; Funded by the Office of Evaluation and Dissemination, USOE.

TABLE 6

Mean Expected Family Contribution, Grant Aid and Student Burden for Aid Applicants by Dependency Status, by Family Income, and by the Student Expense Budget of the Institution Being Attended: 1978-9
(in dollars)

Type of Institution		Dependent Students By Family Income						Independent Students
		0 -5,999	$6,000 -11,999	$12,000 -17,999	$18,000 -23,999	$24,000 -29,999	$30,000 And Over	
4 - Year Public	Expected Family Contribution*	227	623	745	1342	2390	2390	469
	All Grants	1386	1313	1069	661	582	618	1066
	Student Burden	887	1010	1365	1428	1293	1210	2101
4 - Year Private	Expected Family Contribution*	534	641	1011	1749	2694	3808	677
	All Grants	2947	2455	2229	1966	1879	1265	1446
	Student Burden	1526	1864	1999	1831	1724	1753	3017
2 - Year Public	Expected Family Contribution*	436	479	692	1408	2394	652	302
	All Grants	1065	1135	751	402	629	498	871
	Student Burden	268	629	972	1002	574	1256	2338
2 - Year Private	Expected Family Contribution*	3732	521	1099	1550	2493	4785	1014
	All Grants	1385	1322	947	805	717	349	1029
	Student Burden	1795	1901	1677	2020	1989	1529	2297
Proprietary	Expected Family Contribution*	770	832	955	1486	1175	1174	514
	All Grants	1654	1345	935	670	394	48	1116
	Student Burden	1587	2023	2402	2184	3293	3272	3379

Note: * The Expected Family Contribution is computed according to the Uniform Methodology,-adjusted where appropriate so as not to be less than $1100 for a student living with parents.

Source: "Study of Program Management Procedures in the Campus-Based and Basic Grant Programs - Stage 2; Applied Management Sciences; Silver Spring, Maryland; Funded by the Office of Evaluation and Dissemination, USOE.

TABLE 7

The Feasibility of Student Burden: 8000 Individual Aid Applicants 1978-9**

(The Proportion of Aid Applicants Whose Student Burden Exceed $1350, $1850 and $2500 Respectively)

Budget Category		Dependent Student By Family Income: 0 -5,999	$6,000 -11,999	$12,000 -17,999	$18,000 -23,999	$24,000 -29,999	$30,000 And Over	Independent Students	All Students
0 -	S.B. Greater Than $1350	.04	.03	.11	.08	.12	.15	.17	.10
$2500	S.B. Greater Than $1850	.00	.01	.02	.01	.07	.00	.07	.03
	S.B. Greater Than $2500	.00	.00	.00	.00	.00*	.00*	.00	.00
$2501 -	S.B. Greater Than $1350	.39	.30	.30	.34	.25	.92	.67	.40
3000	S.B. Greater Than $1850	.09	.03	.14	.11	.19	.83	.44	.16
	S.B. Greater Than $2500	.00	.01	.02	.04	.07	.63*	.18	.06
$3001 -	S.B. Greater Than $1350	.55	.55	.60	.53	.37	.30	.80	.60
4000	S.B. Greater Than $1850	.27	.30	.31	.35	.21	.10	.68	.39
	S.B. Greater Than $2500	.05	.06	.07	.12	.09	.08*	.40	.16
$4001 -	S.B. Greater Than $1350	.72	.79	.76	.67	.37	.53	.79	.73
5000	S.B. Greater Than $1850	.54	.64	.61	.50	.23	.41	.69	.59
	S.B. Greater Than $2500	.24	.41	.32	.26	.11	.34	.56	.39
$5001 -	S.B. Greater Than $1350	.70	.70	.85	.73	.58	.64	.88	.77
6000	S.B. Greater Than $1850	.60	.61	.74	.57	.36	.48	.80	.65
	S.B. Greater Than $2500	.37	.42	.41	.43	.22	.30	.70	.47
Over	S.B. Greater Than $1350	.59	.70	.81	.59	.53	.21	.79	.66
6000	S.B. Greater Than $1850	.48	.60	.63	.39	.48	.20	.77	.59
	S.B. Greater Than $2500	.29	.47	.50	.29	.35	.18	.72	.50

Note: * Cell Frequency Less Than 30

** At Institutions of Higher Education Only

Source: "Study of Program Management Procedures in the Campus-Based and Basic Grant Programs - Stage 2"; Applied Management Sciences; Silver Spring, Maryland, Funded by the Office of Evaluation and Dissemination, USOE.

Turning to the question of whether there is equality in the financial terms of access and choice among students with different family resources, we can look at Table 5 again. A comparison of the mean Student Burdens for students in differing dependency and family income categories within institutional cost categories, indicates a reasonable degree of equality among dependent students whose family incomes are less than $24,000. Students in higher income categories are not generally eligible for grant aid, thus those who appear in this sample of aid applicants probably represent unusual need situations. Among all categories of students, there appears to be more inequality in terms of Student Burdens in the lowest cost category of institutions, than in the higher cost categories.

This, however, relates to mean Student Burdens. Table 8 gives us another perspective on how the distribution of grant aid affects the degree of equality in the financial terms of access and choice. In this table, the hypothetical Student Burden in the absence of grant aid as a fraction of the student's expense budget is compared with his or her actual Student Burden as a fraction of that same budget. Each cell shows both the mean and standard deviation (a measure of dispersion about the mean) of the hypothetical and actual fractions for students in the cell. What an inspection of the table indicates is that whereas grant aid greatly reduces the percentage of students' budget, that the student must finance with loans and/or work in all cases, for most categories of students, the manner in which grants are distributed increases the inequality in the percentage. This increase in the inequality of Student Burden as a percent of expense budget is most pronounced in the lowest cost category of institutions ($0-2,500) and in all categories of institution for independent students.

In conclusion, it appears from the data available that USOE student financial aid programs have been reasonably successful in providing financial access to some sort of postsecondary education for all prospective students. These programs appear to have made even the most expensive postsecondary education options potentially affordable by the poorest students. But attendance at high cost institutions seems to come only at the price of very high personal sacrifice for certain categories of students, particularly the independent student. Furthermore, Federal grants in conjunction with State and institutional grants do not seem to have equalized the financial terms (Student Burdens) upon which a student has access to a postsecondary education or chooses among postsecondary options. Inequality appears to be greatest in the lowest cost institutions, and between the independent and dependent students. So, while Federal programs have assured access and choice for all students, and this is the critical factor, present evidence also suggests that aid may not be available on equal terms to all students regardless of family resources.

TABLE 8

The Effect of Grants on the Level and Variation in Student Burden as a Percentage of Student Budget: 8000 Individual Aid Applicants 1978-9****

Budget Category	Student Burden as a Percent of Budget	Dependent Student By Family Income 0 -5,999	$6,000 -11,999	$12,000 -17,999	$18,000 -23,999	$24,000 -29,999	$30,000 and Over	Independent Students	All Students
0	Without Grants*	.88 .21	.79 .24	.71 .28	.60 .27	.55 .35	.72 .22	.96 .15	.86 .23
$2500	With Grants**	.20 .24	.21 .23	.29 .25	.32 .27	.33 .32 ***	.46 .26 ***	.38 .37	.28 .31
$2501 -	Without Grants*	.87 .15	.81 .17	.70 .25	.55 .28	.58 .26	.87 .25	.93 .20	.79 .24
3000	With Grants**	.41 .22	.36 .21	.39 .24	.38 .26	.43 .26	.84 .29 ***	.59 .29	.43 .26
$3001 -	Without Grants*	.91 .14	.86 .16	.78 .20	.64 .25	.47 .31	.47 .30	.93 .18	.82 .23
4000	With Grants**	.41 .22	.41 .21	.45 .20	.44 .25	.33 .26	.29 .24 ***	.61 .28	.47 .25
$4001 -	Without Grants*	.89 .22	.86 .26	.82 .16	.63 .24	.38 .27	.55 .35	.86 .25	.80 .27
5000	With Grants**	.41 .21	.47 .23	.44 .20	.41 .25	.24 .23	.43 .37	.57 .29	.47 .27
$5001 -	Without Grants*	.87 .19	.86 .27	.81 .20	.71 .24	.51 .30	.47 .32	.88 .23	.77 .28
6000	With Grants**	.40 .25	.39 .25	.43 .20	.41 .25	.29 .25	.36 .32	.64 .28	.47 .29
Over	Without Grants*	.88 .18	.74 .31	.78 .22	.62 .28	.53 .29	.30 .27	.77 .34	.68 .34
6000	With Grants**	.26 .24	.33 .26	.37 .24	.25 .23	.24 .23	.14 .20	.57 .33	.39 .33

Notes: * Student Burden Without Grants as a Percent of Budget = (Budget - Expected Family Contribution) ÷ Budget

** Student Burden With Grants as a Percent of Budget = (Budget - Expected Family Contribution) ÷ Budget

The Expected Family Contribution is computed according to the Uniform Methodology, adjusted where appropriate so as not to be less than $1100 for a student living with parents.

*** Cell Frequency Less Than 30

**** At Institutions of Higher Education Only

Source: "Study of Program Management Procedures in the Campus-Based and Basic Grant Programs - Stage 2"; Applied Managment Sciences; Silver Spring, Maryland. Funded by the Office of Evaluation and Dissemination, USOE.

Student Persistence

Past studies have indicated that 70 percent of all entering freshmen eventually graduate from college. Of these, only 50 percent graduated from the institution at which they started, the remaining 20 percent graduated after transferring to other institutions. Furthermore, of the students who leave their initial institution without graduating, 50 percent did so in their first year and 30 percent did so in their second year. Preliminary evidence from a recent study suggests an overall improvement in persistence rates.

Analysis of data from this study indicates that there is a relationship between receipt of financial aid and persistence. It is not the absolute amount of aid, or type, the student receives that seems to matter in this regard, but the composition of the student aid package in terms of the mix of grants, loans and work. In general, it appears that relative to having no financial aid of any sort, having grant and loan aid tends to produce the greatest increase in the probability of persisting. This package is followed in descending order of effect on the probability of persisting by--having grant aid only, having grant and work aid, and loan aid only, respectively. All other packages appear to be associated with decreases in the probability of persisting. A much more exhaustive analysis of this important subject needs to be done. While funds are limited, the analysis is proceeding.

Improving Access, Choice and Quality Through Support of Institutions

The Office of Education also administers programs that grant funds directly to the institution. Programs such as these allow the institution to maintain and improve the quantity and quality of the educational services it provides its students without passing the full cost of these services on to students. These programs, like the student aid programs, also help the institution reduce or hold constant the burden to students in a period of rising costs, by reducing the net cost of instruction.

Federal institutional aid programs administered by the U.S. Office of Education make up less than 8 percent of the total OE higher education budget ($396 million in Fiscal Year 1979 of a total $3.771 billion). 5/ HEA Title III, the Developing Institutions Program, accounts for only one-third of this total ($120 million in Fiscal Year 1979). This program is intended to affect both the short- and long-term viability of participating institutions both by promoting detailed institutional program planning, curriculum development, faculty development, and administrative practices and by providing resources to help the institution finance these programs. Generally, these programs have focussed upon institutions serving large numbers of disadvantaged students which is consistent with the larger goal of the Federal postsecondary programs of enhancing equal educational

---

5/ Includes funds for the Special Services Program for Disadvantaged Students and State Grant Programs.

opportunity. Further, if an institutional subsidy, such as HEA Title III, has the effect of allowing an institution to maintain or increase the quality of its services while holding constant or reducing the amount students pay towards the institution's cost of educating that student in the form of tuition and fees, then the impact of the program can be measured not only by its enhancement of institutional viability, but also in terms of increased access and choice by considering the student work loan burden and other factors. In this regard, HEA Title III program funding criteria include as a key factor the relative number of disadvantaged students the institution serves. Thus, the program can be said to be on target if the relative number of disadvantaged served in developing institutions exceeds those in the student population as a whole in all cases. Using Basic Grant recipients as a proxy for economically disadvantaged students, BEOG recipients on the average, make up 28.5 percent of the student body in HEA Title III insitutions compared with 17.9 percent for other 2- and 4-year colleges in academic year 1977-78.

In terms of program effectiveness, evidence is limited as to the current level of development of program participants, however, few participating institutions have closed since the inception of the program. Given that access and choice are Federal goals and since these institutions serve large numbers of low-income students, the closing of any institution would reduce the number and choice of postsecondary education institutions available for students enrolled in the affected institutions. This should be qualified in that these students may find other opportunities of equal or higher quality. However, evidence shows that proximity to public and private nonselective colleges influences entrance to college and that low-income students tend to live at home while attending college. The distance from home to college is strongly and consistently associated with parental income even after controlling for other student characteristics such as parental education, ability, race, etc. 6/ Thus, certainly choice and access to a lessor degree are reduced with the closing of any institution.

While student financial assistance programs can be judged in terms of their impact on either removing or equalizing financial barriers for students, other Federal programs are aimed at assisting the student by removing nonfinancial barriers to access and choice. Target groups for these programs are disadvantaged persons with academic promise but who lack adequate academic preparation or who are insufficiently motivated. The programs attempt to identify potential students and provide them with counseling and remedial assistance to encourage them to enter and persist in postsecondary education. Present programs focus on students both at the pre-college and college levels, however, current funding levels allow for serving or providing services to no more than one in seven students who

---

6/ Higher Education Research Institute, The Impact of Student Financial Aid Programs on Student Choice, Draft Final Report, 1978.

might otherwise qualify. Currently, two major studies are underway; one focussing upon the Upward Bound Program and the other on the Special Services for Disadvantaged Students Program. Preliminary findings for the Upward Bound Program have been most favorable in terms of persistence and college going. It is, however, too early in the study to report on the impact of the Special Services Program. More detail on each study is presented in the program section below as is both program and study information on the Talent Search and Educational Opportunity Center Programs.

While studies of the programs noted above have revealed evidence of program success, they have also revealed a need to continue efforts to improve overall program impact in a more general sense. It is expected that the currently funded studies will provide insights that can be used in this regard.

In addition to the above named programs, a number of other small ($30 million or less) categorical and grant aid programs are administered by the Office of Education. These include fellowship programs, construction assistance, and international education. Reference is made to the individual program summaries for more specific details.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Basic Educational Opportunity Grant Program

Legislation:	Expiration Date:
Education Amendments of 1972, Title IV; Public Law 92-318, 86 Stat., 248-251; as amended Public Law 94-482 and Public Law 95-566.	September 30, 1979

Funding History:	Year	Authorization	Appropriation
	1973	(Such sums as	$122,100,000
	1974	may be necessary	475,000,000
	1975	"	840,200,000
	1976	"	1,325,800,000
	1977	"	1,903,900,000 1/
	1978	"	2,160,000,000
	1979	"	2,457,900,000 2/
	1980	")	1,718,000,000 3/

Program Goals and Objectives:

The Basic Educational Opportunity Grant (BEOG or Basic Grant) Program is a source of Federal student financial aid given to assist in making available the benefits of postsecondary education to qualified students.

The purpose of the Basic Grant Program is to assure that all students have a "funding floor" up to $1,800 to help finance their education in an eligible postsecondary institution. The $1,800 includes expected family contribution plus the Basic Grant. The amount of the Basic Grant, however, cannot exceed half the cost of education nor can the total of Basic Grant and expected family contribution exceed the students' total cost.

Program Operations

(a) **Student Eligibility**

Eligibility for Basic Grants is determined on the basis of financial need. No scholastic determination is made but the student must be maintaining "satisfactory progress" in the course of a study being pursued. Eligibility is limited to

---

1/ Of this amount, $211,700,000 was used for 1976-77 awards.

2/ Funds exclude administrative costs. Appropriation of $2,431,000,000 plus administrative costs of $26,900,000.

3/ Excess monies in 1979 are to be carried forward. This prior year balance, when combined with the 1980 budget authority, totals $2,444,000,000.

undergraduate students who are enrolled in an eligible program on at least a half-time basis at an eligible institution of postsecondary education. These institutions include non-profit colleges and universities as well as postsecondary vocational, technical and profit-making institutions. Student eligibility is limited to four years of undergraduate study, but may be extended to five years under special circumstances specified by law.

(b) Family Contribution Schedule

The law requires the Commissioner to submit to Congress each year for approval a schedule indicating the formula for determining the Expected Family Contribution (EFC). This is the amount a family is expected to contribute to a student's postsecondary education. The formula takes into account parental and student income, assets, family size, number of family members in postsecondary education, educational expenses of other dependent students, and the special educational benefits a student receives. Separate formulas are used for dependent and independent students.

(c) Calculation of Awards at Full Funding

The initial law provided that at full funding a student's Basic Grant entitlement be equal to $1,400 minus the expected family contribution. The Education Amendments of 1976 raised the maximum award for the 1978-79 academic year to $1,800; the minimum award for $200 remained unchanged. There is a further limitation that payments cannot exceed one-half the actual cost of attendance, which includes actual tuition and fee charges, room and board, charges on a standard $1,100 living allowance and a miscellaneous allowance of $400. Finally, an award cannot exceed the difference between cost and expected family contribution.

(e) Calculation of Awards at Less than Full Funding

In the event that sufficient funds are not available to fully fund all entitlements, student grants must be reduced in accordance with the following provision:

If a student's entitlement is:	The student will receive:
More than $1,600	100% of the amount
$1,201 to $1,600	90% of the amount
$1,001 to $1,200	75% of the amount
$801 to $1,000	70% of the amount
$601 to $800	65% of the amount
$200 to $600	50% of the amount

The minimum award is $50 at less than full funding.

(e) Application for Eligibility

Students applying for Basic Grant awards annually by filing a Basic Grant application which requests financial information of the student and the student's family that is necessary to calculate the expected family financial contribution. This application is submitted to a contractor which processes the application and returns to the student a student eligibility report (SER) which contains a student eligibility index (SEI). The SEI is equivalent to the expected family contribution. The student applies for a basic grant by submitting the SER to the institution's financial aid office. At the financial aid office the size of the Basic Grant is determined on the basis of the SEI and the cost of attendance at that institution. The award is generally disbursed by the institution.

Program Scope:

Table 1 provides summary statistics for the program since its inception. The Basic Grant program has grown from fewer than 200,000 recipients receiving under $50 million in 1973-74 to about 1.7 million recipients receiving $1.6 billion in 1978-79. During this period the average award grew by nearly $700 and potential eligibility expanded from full-time freshmen to all undergraduates enrolled on at least a half-time basis.

In addition to this dramatic growth in size there has been a change in the composition of Basic Grant recipients. Table 2 shows the distribution of recipients by family income and dependency status for the award periods 1975-76 through estimates for 1978-79. There has been a clear increase in the number of recipients who are "independent" of their parents for financial aid purposes and, most recently, an increase in the proportion of recipients that are dependents with family income over $12,000.

The program provides assistance to a large majority of low-income students (Table 3). As would be expected, as family income decreases participation in the program increases. Additionally, higher average awards to students in the non-profit higher cost sectors reflect fewer awards constrained by the half-cost limitation.

Program Effectiveness and Progress:

- The effect of Basic Grants in 1978-79 has been the near equilization of the "floor" of combined Basic Grant and expected family contribution as a percentage of cost for dependent student aid applicants with family incomes up to about $24,000 as compared to expected family contributions alone.

Table 1
Basic Educational Opportunity Grant Program
Summary Statistics

	Academic Year					
	1973-1974	1974-1975	1975-1976	1976-1977	1977-1978	1978-1979 1/
Number of Applications Processed	512,866	1,304,877	2,339,337	3,590,379	3,844,047	2/
Number of Applications Returned for Insufficient Data	30,535	190,793	160,641	181,661	222,406	2/
Number of Valid Applications	482,331	1,114,084	2,178,696	3,408,718	3,621,641	2/
Number and Percent of Qualified Applications	268,444 (55.7%)	681,648 (61.2%)	1,455,187 (66.8%)	2,258,043 (66.2%)	2,390,320 (66.0%)	2/
Number and Percent of Non-Qualified Applications	213,887 (44.3%)	432,436 (38.8%)	723,509 (33.2%)	1,150,675 (33.8%)	1,231,321 (34.0%)	2/
Classes of Eligible Applicants	Full-Time Freshman	Full-Time Freshman and Sophomores	Freshman Sophomores Juniors	All Undergraduates	All Undergraduates	All Undergraduates
Number of Recipients	185,249	573,403	1,228,034	1,945,454	1,763,990	1,700,000
Total Expenditures	$49,873,951	$356,536,667	$936,543,134	$1,473,814,387	$1,587,863,624	$1,600,000,000
Average BEOG Grant	$ 269	$ 622	$ 763	$ 758	$ 852	$ 927
Minimum BEOG Grant	$ 50	$ 50	$ 200	$ 200	$ 200	$ 200
Maximum BEOG Grant	$ 452	$ 1,050	$ 1,400	$ 1,400	$ 1,400	$ 1,600

1/ Estimated

2/ Not currently available

Source: Bureau of Student Financial Assistance, USOE.

Table 2
Changing Composition of Basic Grant Recipients
By Student Status

	Per Cent of Recipients			
	1975-76	1976-77	1977-78	1978-79 1/
Independent Students	27%	36%	39%	35%
Dependent Students by Family Income				
Less than $6,000	30	26	25	26
$6,000-12,000	32	28	25	21
Over $12,000	11	11	11	18
TOTAL	100%	100%	100%	100%

1/ Estimated

Sources: (1) For 1975-76 through 1977-78 - Bureau of Student Financial Assistance's Merged Applicant Recipient data file.

(2) For 1978-79 - "Study of Program Management Procedures in the Campus-Based and Basic Grants Programs - Stage 2"; Applied Management Sciences; Silver Spring, Maryland. Funded by the Office of Evaluation and Dissemination, USOE.

TABLE 3

1978 FULL-TIME, FIRST-TIME FRESHMAN DEPENDENT STUDENTS

Distribution of Participation in the BEOG Program
by Parental Income and College Tuition Levels

TUITION	STATISTICS	$0-5999	$6000-12499	$12500 19999	$20000 -29999	$30000 OR MORE
$0-499	PPART1)	52%	43%	21%	9%	4%
	MEAN 2)	$923	$725	$574	$493	$517
$500-999	PPART	68%	49%	23%	8%	3%
	MEAN	$996	$834	$609	$575	$635
$1000-1999	PPART	74%	54%	27%	10%	5%
	MEAN	$1123	$894	$649	$594	$672
$2000-2999	PPART	73%	60%	33%	15%	6%
	MEAN	$1180	$989	$7[illegible]8	$825	$808
$3000 OR MORE	PPART	69%	60%	30%	12%	4%
	MEAN	$1264	$1009	$832	$929	$907

1) PPART - Proportion of Students in Category Participating in the Program

2) MEAN - Average or Mean Award in Category

Source: Prepared by the Postsecondary Programs Division OED/USOE from Data obtained from the Cooperative Institutional Research Program, American Council on Education for 1978.

- For aid applicants the national average fraction of educational cost being met by expected family contribution and Basic Grants is about 40 percent. The average for students at public institutions is slightly higher while the average for students at private and proprietary institutions is slightly lower.

- Slightly under three-fourths of all dependent, half time or greater undergraduates from families with parental income below $12,000 applied for financial assistance in 1978-79. The most common reasons given for not applying were "did not think I was eligible" and "did not know about financial aid."

One measure of the effectiveness of the Basic Grant program is its ability to equalize the "floor" of financial aid to help defray the costs of a postsecondary education. That is, students have, as an expected minimum, a financial contribution expected from the family and a Basic Grant from the Federal government. If the sum of these two, the "floor," is fairly constant across family income levels then students start out facing the same financial barriers regardless of family income. Table 4 shows that to a great extent this "floor" is being equalized for dependent student aid applicants with family incomes up to about $24,000.

For example, in 1978-79 dependent student aid applicants enrolled at four-year public schools have the sum of expected family contribution and Basic Grant equal to about 45 percent of cost up to $24,000 of family income. This is roughly $1,400, leaving roughly $1,700 to be met from other sources (such as family contribution above the expected level, other Federal grants, State and institutional grants and scholarships, student loans, and work). In 4-year private schools the equalization appears up to about $24,000 at around 30 percent. This is roughly $1,500 with other sources making up $3,700.

For independent students, the fraction of cost met by expected contribution and Basic Grant was, in 1978-79, generally lower than those under $24,000 dependent student by institutional sector. The cost of education for independent students is, on average, higher than that for dependent students. This is due to a higher likelihood of independent students having dependents to support. Thus, with the fraction of cost met by expected family contribution and, Basic Grants lower for independent and dependent students, the dollar amounts required from other sources are higher for independent students than for dependent students.

Table 3 showed that more than half of the first-time, full-time dependent students from families with incomes under $12,500 received Basic Grants in 1978-79. Of course to receive a Basic Grant the student must apply for one. Table 5 shows the estimated fractions of students who applied for student aid by income and by institutional sector. In an OED funded study, students who did not apply for financial aid were asked the reasons why they did not. The breakdown of responses is shown in Table 6.

Table 4
EFC + BEOG as the "Floor" - Per Cent of Cost Met by
Expected Family Contribution and Basic Grants for Aid Applicants
By Family Income

	Four-Year Public		Four-Year Private		Two-Year Public		Two-Year Private		Proprietary	
	EFC	EFC & BEOG	EFC	EFC & BEOG	EFC	EFC & BEOG	EFC	EFC & BEOG	EFC	EFC & BEOG
Dependent Student Family Income										
$0-6,000	9	47	11	34	18	52	10	34	19	49
6,000-12,000	21	49	13	30	21	54	14	32	20	42
12,000-18,000	23	37	19	26	29	49	30	38	22	31
18,000-24,000	39	43	32	34	56	62	35	36	34	39
24,000-30,000	62	63	45	45	71	77	52	52	36	36
Over $30,000	63	63	59	59	*	*	83	83	*	*
Independent	13	28	13	20	9	24	23	31	10	25
Average Budget Dependent	$3,082		$5,171		$2,332		$4,432		$4,090	
Independent	$4,074		$6,010		$3,778		$5,702		$5,137	

Source: "Study of Program Management Procedures in the Campus-Based and Basic Grant Programs - Stage 2"; Applied Management Sciences; Silver Spring, Maryland. Funded by the Office of Evaluation and Dissemination, USOE.

* Insufficient data.

Table 5
Estimated Percentages of Undergraduates Enrolled at Least Half-Time Who Applied for Federal Financial Aid By Family Income

	Four-Year Public	Four-Year Private	Two-Year Public	Two-Year Private	Proprietary	All
Dependent Student Family Income						
$0-6,000	72%	82%	66%	75%	52%	71%
6,000-12,000	74	77	72	61	82	74
12,000-18,000	65	80	33	57	63	61
18,000-24,000	42	69	33	38	63	48
24,000-30,000	35	55	28	27	49	39
Over $30,000	14	26	14	15	14	18
Independent	55	58	42	69	78	50

Source: "Study of Program Management Procedures in the Campus-Based and Basic Grant Programs - Stage 2"; Applied Management Sciences; Silver Spring, Maryland. Funded by the Office of Evaluation and Dissemination, USOE.

Table 6
Estimated Percentages of Reasons for Non-Application for Students Who Did Not Apply for Federal Financial Aid

	Dependent Student Family Income							
	$0 - 6,000	$6,000- 12,000	$12,000- 18,000	$18,000- 24,000	$24,000- 30,000	Over $30,000	Independent	All
(1) Did Not Know About Fin. Aid	14%	7%	8%	6%	5%	5%	11%	9%
(2) Parents Would Not Complete Form	5	9	5	9	11	10	2	8
(3) Did Not Think I Was Eligible	42	34	67	74	65	74	49	60
(4) Thought Grades Were Too Low	2	5	2	2	2	2	2	3
(5) Forms Too Long and/or Complicated	1	12	6	6	4	1	3	4

Source: "Study of Program Management Procedures in the Campus-Based and Basic Grant Programs - Stage 2"; Applied Management Sciences; Silver Spring, Maryland. Funded by the Office of Evaluation and Dissemination, USOE.

Although a relatively high percent of low- and middle-income students apply for financial aid, a shockingly high percentage of these who do not apply have as their reason they do not think they are eligible. Given the fact that application to the Basic Grant program is free, students should apply whether or not they think they are eligible because in fact they might be when they think they are not.

For low income students, lack of knowledge of financial aid was the next largest factor in nonapplication. Thus the effectiveness of the Basic Grant program, in terms of providing aid to students who are deemed in need of that aid, can be improved by increased efforts to educate college-bound students as to the availability and scope of Federal financial aid.

Ongoing and Planned Evaluation Studies:

Study of Program Management Procedures in the Campus-Based and Basic Grant Programs.

Stage I began in October 1977 and ended in September 1978. Stage II began in October 1978 and planned completion is May 1980. The purpose of this study is to evaluate Federal and institutional management practices for the BEOG and Campus-Based programs as they impact on the extent to which the programs are meeting their goals. Stage I consisted for the performance of primarily descriptive analysis using existing data sources and interviews with USOE staff. Stage II entails collecting and analyzing data from students and postsecondary institutions regarding financial aid packaging, information dissemination, and institutional financial aid office management procedures for the 1978-79 academic year.

Analysis of the Impact of the Middle Income Student Assistance Act.

This proposed study is similar in certain aspects to Stage II of the above study. Student financial aid packaging data will be collected from postsecondary institutions during the 1979-80 academic year. An analysis will be done on the impact of the Middle Income Student Assistance Act (which goes into effect in the fall of 1979) on the financial resources allocated to students.

Sources of Evaluation Data:

Applied Management Sciences, Inc., "Study of Program Management Procedures in the Campus-Based and Basic Grant Programs," U.S. Office of Education, OED, Contract #300-77-0498.

Higher Education Research Institute, "Acquisition of Cooperative Institutional Research Program (CIRP) Files," U.S. Office of Education, OED, Contract #300-78-0183.

USOE, Bureau of Student Financial Assistance, Merged Applicant/Recipient Files for BEOG, 1975-76 through 1977-78.

American Council on Education, Higher Education Panel Survey #36, "Estimated Number of Student Aid Recipients, 1976-77," October 1977.

Higher Education Research Institute, "Studies on the Impact of Student Financial Aid Programs," U.S. Office of Education, OED, Contract #300-75-0382.

For further information about program operations,

Contact: Joseph Vignone, 472-4300

For further information about studies of program effectiveness,

Contact: Alexander Ratnofsky, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Supplemental Educational Opportunity Grants Program

Legislation:	Expiration Date:
Title IV Subpart A-2, Public Law 92-318, 86 Stat. 251; as amended Public Law 94-482.	September 30, 1979

Funding History: Year	Authorization 1/	Appropriation
1974	$200,000,000	$210,300,000
1975	200,000,000	240,300,000
1976	200,000,000	240,093,000
1977	200,000,000	250,093,000
1978	200,000,000	270,093,000
1979	200,000,000	340,100,000
1980	200,000,000	370,000,000

Program Goals and Objectives:

The purpose of the Supplemental Educational Opportunity Grants (SEOG) Program is "to provide, through institutions of higher education, supplemental grants to assist in making available the benefits of postsecondary education to qualified students who, for lack of financial means, would be unable to obtain such benefits without such a grant." The more general related goal is to contribute to the promotion of the financial aspect of equality of educational opportunity at the postsecondary level by equalizing the sum of expected family contribution and grant aid from student to student at similar institutions.

Program Operations:

(a) Student Eligibility

SEOG awards are limited to students who are enrolled at least half-time as undergraduates at their respective institutions, who maintain "satisfatory progress," and who have "exceptional need." This latter term has been interpreted to mean those students whose expected family financial contribution is less than one-half of the cost of attendance at the institution.

1/ For initial year grants plus such sums as may be needed for continuing grants.

(b) Student Applications and Awards

Students apply for SEOG's through the financial aid administrators at their institutions. The student does not apply specifically for an SEOG but rather for financial assistance in general. The financial aid administrator determines, on the basis of available funds and the need of the student whether or not to award an SEOG and its size. The maximum is $1,500 per year but cannot exceed the total amount of student financial aid, other than SEOG, provided to the student through the institution. The total amount of funds awarded to any student over the course of a four year program is $4,000. If the student is enrolled in a program of study extending over five years, or where particular circumstances, as determined by the institution, require that the student spend an additional year completing a program of study that normally requires four years, the limit is $5,000.

(c) Institutional Applications and Awards

For purposes of awarding aid to institutions there are actually two SEOG programs--an initial year (IY) and a continuing year (CY) program. The Office of Education determines the proportions of total program funding that are allotted to IY and CY uses. Initial year funds can only be awarded to students who have never before received an SEOG while continuing year funds can only be awarded to prior recipients.

Institutions apply for SEOG funds, both IY and CY, annually via the "FISAP" (combined Fiscal Operations Report and Application for Campus-Based Aid). The FISAP became operational in the fall of 1978 for funds to be used during the 1979-80 academic year. Prior to this, institutions applied for funds by an application for a specific funding level that was reviewed at the level of the OE Regional Offices. Institutional awards were determined by prorating approved application requests downward on a State by State basis so as not to exceed total appropriations nationwide.

The current process allots both IY and CY funds to institutions on a formula basis and is done at the national level.

Program Scope:

The SEOG program has grown from $210 million in the 1974-75 academic year to $340 million for the 1979-80 academic year or 62 percent over five years. The average (per recipient) award has not changed greatly over this period and has varied in the range of about $500 to $600.

The changing composition of SEOG recipients is shown in Table 1. There have been clear increases in the percentages of receipients who are declared "independent" of their parents for financial aid purposes and of recipients who are dependent with family income above $12,000.

Table 1
Income Distribution of SEOG Recipients in Percents
From 1974-75 to 1978-79

	1974-75	1976-77	1978-79
Less than $6,000	39%	24	19
6,000-12,000	30	31	18
Over 12,000	6	19	29
Independent	25	26	34
Total	100	100	100

Source: "Study of Program Management Procedures in the Campus-Based and Basic Grant Programs - Stage 2"; Applied Management Sciences; Silver Spring, Maryland. Funded by the Office of Evaluation and Dissemination, USOE.

The percentage of first-time, full-time dependent freshmen receiving SEOG is shown in Table 2. As family income decreases the likelihood being a recipient increases. There were approximately one-half million student recipients during 1978-79.

There are approximately 3,500 institutions participating in the SEOG program. Their funding by type and control is shown in Table 3. Although only about 20 percent of all undergraduates are enrolled in private institutions, roughly 40 percent of the SEOG funds went to these schools. This is due to the cost sensitive nature of the funding mechanisms and the higher cost of private versus public schools.

Program Effectiveness and Progress:

- SEOG awards are meeting roughly 3 percent of the cost of attendance of undergraduate student aid applicants, regardless of the type and control of institution.
- Within type and control of institution, a higher fraction of cost is met by SEOG in these income categories with lower than average non-returnable aid.
- Roughly 25 percent of all SEOG recipients do not receive Basic Grants.

Table 4 shows the increase in percentage of cost met by non-returnable aid caused by the introduction of SEOG. The average increase is 3 percent and does not vary much by type and control of school, student dependency status or year in school. It also does not vary much by family income up to around $24,000. Above that very little SEOG is awarded to aid applicants. Table 4 shows that while the average rise in non-returnable aid caused by SEOG is fairly uniform by type and control of institution, dependency status, family income (up to $24,000), and year in school, within each of these categories, what variation there is, tends to be such that SEOG's are going mainly to those who have lower than average non-returnable aid. This is a very encouraging finding.

Table 5 shows the percentage of SEOG recipients who do not receive Basic Grants. The figure is substantial, around 25 percent, in aggregate. More important perhaps is the high percentage of middle and higher income aid applicants who do not receive Basic Grants but are still in need of, and receive an SEOG. A line separating the under and over $18,000 family income dependent students neatly separates those students where fewer than half the SEOG recipients are not Basic Grant recipients from those where more than half the SEOG recipients do not receive Basic Grants. Thus one role SEOG has taken is to go to middle income students whose non-returnable aid is lower than their peers but who do not receive a Basic Grant.

TABLE 2

1978 FULL-TIME, FIRST-TIME FRESHMAN DEPENDENT STUDENTS

Distribution of Participation in the SEOG Program
by Parental Income and College Tuition Levels

TUITION	STATISTICS	$0-5999	$6000-12499	$12500-19999	$20000 -29999	$30000 OR MORE
$0-499	PPART1)	9%	9%	4%	2%	1%
	MEAN 2)	$840	$644	$449	$556	$299
$500-999	PPART	16%	12%	6%	2%	1%
	MEAN	$571	$530	$470	$503	$625
$1000-1999	PPART	22%	15%	7%	3%	2%
	MEAN	$690	$620	$575	$635	$771
$2000-2999	PPART	23%	22%	14%	6%	2%
	MEAN	$798	$679	$644	$675	$775
$3000 OR MORE	PPART	28%	26%	17%	8%	2%
	MEAN	$949	$894	$892	$879	$836

1) PPART - Proportion of Students in Category Participating in the Program

2) MEAN - Average or Mean Award in Category

Source: Prepared by the Postsecondary Programs Division OED/USOE from Data obtained from the Cooperative Institutional Research Program, American Council on Education for 1978.

Table 3
Distribution of 1978-79 and 1979-80 Allocations of SEOG by Institution

	SEOG-IY		SEOG-CY		SEOG-Total	
	1978-79	1979-80	1978-79	1979-80	1978-79	1979-80
Four-Year Public	34%	34%	43%	41%	38%	37%
Four-Year Private	30	32	42	45	36	38
Two-Year Public	17	16	10	9	14	13
Two-Year Private	3	4	2	3	3	3
Proprietary	16	14	2	2	10	9
Total	100%	100%	100%	100%	100%	100%
National Allocation ($ million)	146	184	124	156	270	340

Source: Bureau of Student Financial Assistance.

Table 4
Percent of Cost Being Met by Non-Returnable Aid, With and Without SEOG for 1978-79
By Type of Institution

Student Type	Four-Year Public		Four-Year Private		Two-Year Public		Two-Year Private		Proprietary	
	w/ SEOG	w/o SEOG	w/ SEOG	w/o SEOG	w/ SEOG	w/o SEOG	w/ SEOG	w/o SEOG	w/ SEOG	w/o SEOG
Independent	51	47	57	53	51	49	64	61	48	44
Dependent With Family Income:										
$0-6,000	63	60	61	57	50	46	62	60	48	45
6,000-12,000	60	57	58	53	57	53	57	54	49	46
12,000-18,000	58	54	58	53	62	60	54	50	47	44
18,000-24,000	60	57	67	64	62	62	58	56	51	48
24,000-30,000	72	70	73	72	85	83	67	64	81	81
Over 30,000	79	79	80	80	Insufficient Data		91	91	Insufficient Data	
All	58	55	63	60	54	51	60	57	48	45
Freshman	60	57	66	62	54	51	60	57	46	43
Sophomore	60	57	63	60	53	50	61	58	49	45
Junior	57	53	63	60	--	--	--	--	--	--
Senior	57	55	60	57	--	--	--	--	--	--

Source: "Study of Program Management Procedures in the Campus-Based and Basic Grant Programs - Stage 2"; Applied Management Sciences; Silver Spring, Maryland. Funded by the Office of Evaluation and Dissemination, USOE.

Table 5
Estimated Percent of SEOG Recipients with No BEOG for 1978-79
by Type of Institution

	Four-Year Public	Four-Year Private	Two-Year Public	Two-Year Private	Proprietary
$0-6,000	6%	6	12	9	3
6,000-12,000	13	14	14	5	15
12,000-18,000	31	38	19	50	16
18,000-24,000	60	73	100	84	86
24,000-30,000	70	95	100	79	--
Over 30,000	100	100	100	--	--
Independent	23	21	32	31	17
Total	23	33	22	37	18

Source: "Study of Program Management Procedures in the Campus-Based and Basic Grant Programs - Stage 2"; Applied Management Sciences; Silver Spring, Maryland. Funded by the Office of Evaluation and Dissemination, USOE.

Ongoing and Planned Evaluation Studies:

Study of Program Management Procedures in the Campus-Based and Basic Grant Programs

Stage I began in October 1977 and ended September 1978. Stage II began in October 1978 and planned completion is May 1980. The purpose of this study is to evaluate Federal and institutional management practices for the BEOG and Campus-Based programs as they impact on the extent to which the programs are meeting their goals. Stage I consisted of the performance of primarily descriptive analysis using existing data sources and interview with USOE staff. Stage II entails collecting and analyzing data from students and postsecondary students regarding financial aid packaging, information dissemination, and institutional financial aid office management procedures for the 1978-79 academic year.

Analysis of the Middle Income Student Assistance Act

This proposed study is similar in certain aspects to Stage II of the above study. Student financial aid packaging data will be collected from postsecondary institutions during the 1979-80 academic year. An analysis will be done on the impact of the Middle Income Student Assistance Act (which goes into effect in the fall of 1979) on the financial resources allocated to students.

Sources of Evaluation Data:

Applied Management Sciences, Inc., "Study of Program Management Procedures in the Campus-Based and Basic Grant Programs," U.S. Office of Education, OED, Contract #300-77-0498.

Higher Education Research Institute, "Acquisition of Cooperative Institutional Research Program (CIRP) Files," U.S. Office of Education, OED, Contract #300-78-0183.

USOE, Bureau of Student Financial Assistance, Fiscal Operations and "FISAP" reports.

American Council on Education, Higher Education Panel Survey #36, "Estimated Number of Student Aid Recipients, 1976-77," October 1977.

Higher Education Research Institute, "Studies on the Impact of Student Financial Aid Programs," U.S. Office of Education, OED, Contract #300-75-0382.

For further information about program operations,

Contact: Robert Coates, 245-2320

For further information about studies of program effectiveness,

Contact: Alexander Ratnofsky, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

State Student Incentive Grant Program

Legislation:	Expiration Date:
Title IV, Subpart A-3 of the Higher Education Act; as amended Public Law 92-318; as amended Public Law 94-482.	September 30, 1979

Funding History:	Year	Authorization	Appropriation
	1973	$50,000,000 1/	None
	1974	50,000,000 1/	$20,000,000 2/
	1975	50,000,000 1/	20,000,000
	1976	50,000,000 1/	44,000,000
	1977	50,000,000 1/	60,000,000
	1978	50,000,000 1/	63,750,000
	1979	50,000,000 1/	76,750,000
	1980	50,000,000 1/	76,750,000 3/

Program Goals and Objectives:

The SSIG program is designed to encourage States to develop or expand programs of grant aid to help undergraduate students with "substantial financial need" who attend eligible postsecondary institutions. As with other Federal student assistance programs, SSIG contributes to, and provides an incentive for States to contribute to, the longer term goal of equality of educational opportunity. Insofar as States have a great deal of discretion as to how SSIG funds are used, it is difficult to assign a specific measure of effectiveness.

Program Operations:

SSIGP is a 50-50 cost-sharing (State-Federal) program under which Federal funds are allotted/reallotted to the States based on a formula reflecting current student attendance patterns. Reallotment is permitted if a State does not use its current allotment. Disbursements are made directly from the Federal Government to the States and from the States to postsecondary institutions on behalf of students. While States are responsible for the selection of grant recipients, selection criteria are subject to review by the Commissioner, and individual student grants are limited to $1,500 per academic year. A State may employ any distribution procedure that falls within the overall scope of the statute.

1/ Plus such sums as may be needed for continuation grants.

2/ Only $19,000,000 was released for allotment.

3/ Budget request.

States are required to administer the funds through a single State agency, with no Federal allowance for administrative costs. To ensure maintenance of effort, State matching for student awards must be in excess of the amount the State spent for grants two fiscal years prior to the year the State initially received aid under the SSIG program.

Program Scope:

Fifty-seven States and territories are potentially eligible for matching grants under the SSIG program. In FY 1974, the first year of SSIG operation, scholarship programs were expanded in 27 States, and completely new programs were established in 14 States and territories. The following year, 9 new States and the District of Columbia joined the network of jurisdictions with operational State scholarship programs. All fifty-seven eligible States and territories were included in the SSIG network in 1978. The scope of the State aid programs is shown in Table 1.

Under the definition of "substantial financial need," States have a wide latitude in their selection of grant recipients. Students from both low and middle incomes may receive grants under this definition. In FY 1975, an estimated 80,000 students received average grants of $500 ($250 Federal funds). In FY 1976, awards averaging $500 went to an estimated 176,000 students, including two continuation classes and a new round of initial student grantees. The pattern of support for four full undergraduate classes was reached in FY 1977.

Program Effectiveness and Progress:

Available data suggest that the SSIG program has been highly successful in stimulating the development of a network of State scholarship program for the delivery of financial aid to students. The number of States with such programs almost doubled during the first two years of SSIG operations. At the beginning of FY 1978 no State or territory remains outside the SSIG delivery system. In September 1977 the National Association of State Scholarship and Grant Programs in its 9th Annual Survey reported that the State level of funding for student aid had risen dramatically over the years the SSIGP had been in effect. Table 2 shows the growth in State programs accompanying participation in SSIG.

Rates of growth among States with programs established prior to SSIGP vary markedly ranging from level funding for a handful of States to increases of several thousand percent. As a group these States have increased their funding levels for State scholarship and grant programs from $287.0 to $714.5 million for an average rate of growth of 149 percent. The 21 States with no program prior to SSIGP now have programs awarding approximately $27 million. In 14 of these 21 States the Federal government via SSIGP still shares 50 percent of the cost of their State student financial aid programs, while the State share exceeds the Federal share in seven of them.

Table 1
History Since 1966-70 of State-Funded Need-Based
Undergraduate Scholarship/Grant Programs

Year	# of States/ Territories	# Awarded Students	Dollar Awards * (Millions)
1969-70	19	470,000	$199.9
1970-71	21	535,200 (up 13.7%)	236.3 (up 18.2%)
1971-72	23	604,000 (up 12.9%)	268.6 (up 13.7%)
1972-73	29	661,700 (up 9.6%)	315.5 (up 17.5%)
1973-74	31	733,300 (up 10.8%)	364.2 (up 15.4%)
1974-75	37	813,100 (up 10.9%)	440.8 (up 21.0%)
1975-76	48	901,900 (up 10.9%)	510.2 (up 15.7%)
1976-77	55	1,104,400 (up 22.5%)	651.4 (up 27.7%)
1977-78	56	1,190,300 (up 7.8%)	746.0 (up 14.5%)

Source: A Study of State Student Incentive Grant Programs. ECS/NCHEMS, Denver, Colorado. Funded by Office of Evaluation and Dissemination.

Table 2

Growth in State Programs From Base Year of Qualifying for SSIGP - Best Estimate Data

State	Base Year	Base Year Level of Effort (Millions)	1977-78 Total Funds (Millions)	Percentage Growth
Alabama	1973	.306	.541	+ 77%
Alaska	1974	.0	.141	--
Arizona	1974	.0	1.400	--
Arkansas	1973	.0	.650	--
California	1972	20.881	78.964	+ 278%
Colorado	1972	6.880	9.894	+ 44%
Connecticut	1972	1.448	6.814	+ 371%
Delaware	1972	1.002	.520	--
District of Columbia	1973	.0	.873	--
Florida	1972	.616	8.290	+1,246%
Georgia	1972	.0	2.807	--
Hawaii	1973	.0	.484	--
Idaho	1973	.0	.388	--
Illinois	1972	41.749	78.103	+ 87%
Indiana	1972	5.040	20.100	+ 299%
Iowa	1972	4.290	11.622	+ 171%
Kansas	1972	.150	4.410	+2,840%
Kentucky	1972	.0	3.514	--
Louisiana	1973	4.782	.559	--
Maine	1972	.0	.730	--
Maryland	1972	3.237	2.117	--
Massachusetts	1972	8.205	14.685	+ 79%
Michigan	1972	12.984	27.812	+ 114%
Minnesota	1972	2.384	22.183	+ 830%
Mississippi	1973	.0	1.044	--
Missouri	1972	.0	7.175	--
Montana	1973	.0	.339	--
Nebraska	1972	.0	.745	--
Nevada	1975	.0	.200	--
New Hampshire	1974	.0	.414	--
New Jersey	1972	20.898	28.977	+ 39%
New Mexico	1974	.0	.561	--
New York	1972	76.400	229.400	+ 200%
North Carolina	1973	.817	2.580	+ 216%
North Dakota	1972	.0	.343	--
Ohio	1972	14.718	29.144	+ 98%
Oklahoma	1972	.0	1.763	--
Oregon	1972	.967	4.613	+ 377%
Pennsylvania	1972	54.726	70.936	+ 30%
Rhode Island	1972	1.793	2.797	+ 56%
South Carolina	1972	.114	8.948	+7,749%
South Dakota	1972	.021	.236	+1,024%
Tennessee	1972	.0	3.050	--
Texas	1972	1.000	16.820	+1,582%
Utah	1972	.186	1.247	+ 570%
Vermont	1972	2.230	3.176	+ 42%
Virginia	1974	1.422	2.488	+ 75%
Washington	1972	1.337	4.950	+ 270%
West Virginia	1972	.299	2.699	+ 803%
Wisconsin	1972	4.296	21.048	+ 390%
Wyoming	1973	.0	.056	--
A. Samoa	1974	.0	.293	--
Puerto Rico	1972	6.000	1.092	--
Virgin Islands	1972	.324	.487	+ 50%
Trust Territory	1972	.536	.560	+ 4%

Source: A Study of State Student Incentive Grant Programs. ECS/NCHEMS, Denver, Colorado. Funded by Office of Evaluation and Dissemination.

Table 3

Percent of Federal Funds (SSIG) of All Student Scholarship/Grant Dollars by Rank Order (High to Low)

State	% SSIG
1. New York	2.6
2. Pennsylvania	3.5
3. Illinois	3.9
4. Vermont	4.6
5. Minnesota	5.0
6. New Jersey	5.3
7. Indiana	5.7
8. Wisconsin	6.0
9. Iowa	7.5
10. Ohio	7.7
11. Colorado	7.9
All States	8.0
12. South Carolina	8.2
13. Michigan	8.9
14. Connecticut	11.2
15. Rhode Island	11.6
16. California	12.2
17. Massachusetts	13.9
18. West Virginia	14.8
19. Oregon	16.1
20. Missouri	16.3
21. Texas	18.9
22. Kentucky	20.3
23. Kansas	20.6
24. Florida	21.6
25. Washington	23.7
26. Maine	29.8
27. Delaware	30.8
28. Tennessee	33.6
29. Utah	35.3
30. Georgia	37.8
31. North Dakota	44.8
32. Hawaii	48.3
33. Montana	48.7
34. Maryland	48.9
35. Virginia	49.5
36. Alabama	50.0
37. Alaska	50.0
38. Arizona	50.0
39. Arkansas	50.0
40. District of Columbia	50.0
41. Idaho	50.0
42. Louisiana	50.0
43. Mississippi	50.0
44. Nebraska	50.0
45. Nevada	50.0
46. New Hampshire	50.0
47. New Mexico	50.0
48. North Carolina	50.0
49. Oklahoma	50.0
50. South Dakota	50.0
51. Wyoming	50.0

Source: A Study of State Student Incentive Grant Programs. ECS/NCHEMS, Denver, Colorado. Funded by Office of Evaluation and Dissemination.

Table 4
State Student Aid Efforts By Census Regions
(Adapted from Boyd and Francis, 1979)

Region	State	% State Funds	Regional Average	Adjusted Regional Average 1/
Middle Atlantic	New York	98	96.3	96.0
	New Jersey	95		
	Pennsylvania	96		
East North Central	Ohio	91	93.2	93.0
	Indiana	94		
	Illinois	96		
	Michigan	91		
	Wisconsin	94		
North East	Maine	79	81.8	86.2
	New Hampshire	50		
	Vermont	96		
	Massachusetts	86		
	Rhode Island	90		
	Connecticut	90		
West North Central	Minnesota	96	73.3	73.4
	Iowa	95		
	Missouri	86		
	North Dakota	52		
	South Dakota	50		
	Nebraska	50		
	Kansas	84		
South Atlantic	Delaware	68	72.5	73.0
	Maryland	78		
	Virginia	62		
	West Virginia	86		
	North Carolina	50		
	South Carolina	92		
	Georgia	65		
	Florida	79		
Pacific	Washington	73	69.4	69.7
	Oregon	88		
	California	86		
	Alaska	50		
	Hawaii	50		
East South Central	Kentucky	84	66.5	66.0
	Tennessee	76		
	Alabama	56		
	Mississippi	50		
Mountain	Montana	50	61.1	57.8
	Idaho	50		
	Wyoming	72		
	Colorado	92		
	New Mexico	50		
	Arizona	50		
	Utah	75		
	Nevada	50		
West South Central	Arkansas	50	57.0	50.0
	Louisiana	50		
	Oklahoma	50		
	Texas	78		

1/ High and low numbers are dropped from the calculation of the mean.

Source: A Study of State Student Incentive Grant Programs. ECS/NCHEMS, Denver, Colorado. Funded by Office of Evaluation and Dissemination.

Table 5
Comparison of State Student Aid Effort and Undergraduate Charges at Major Public University by Census Regions

Region	Regional Average % State Funds	Average Resident Undergraduate Tuition and/or Required Fees at Major Public University
Middle Atlantic	96.3	$1,008
East North Central	93.2	$ 793
North East	81.8	$ 956
West North Central	73.3	$ 650
South Atlantic	72.5	$ 689
Pacific	69.4	$ 540
East South Central	66.5	$ 574
Mountain	61.1	$ 536
West South Central	57.0	$ 433

Source: A Study of State Student Incentive Grant Programs. ECS/NCHEMS, Denver, Colorado. Funded by Office of Evaluation and Dissemination.

One impression conveyed by Table 2 is that the importance of Federal SSIGP funds varys dramatically across States. This is confirmed by data presented in Table 3 which shows on a State-by-State basis the percentage that Federal funds (SSIGP) are of all student scholarship/grant dollars. This ranges from 2.6 percent in New York to 50 percent in those States that merely match the Federal effort. The national average is 8 percent.

Most States would clearly continue their State aid programs without SSIG. However, the 16 States which exactly match the Federal share of SSIG may not have State aid programs in existence if the Federal portion were withdrawn.

A comparison of State aid effort across the States shows strong regional differences. These differences are highlighted in Table 4. In general, States in the northeast and Great Lakes areas are into State aid greatly beyond SSIG. In the Rocky Mountain and southwest areas, States are more likely to be into SSIG only and have no other State aid program.

Table 5 shows an interesting correlation between the above finding and the average resident undergraduate tuition and fees charged at the major public university in each State. The higher the tuition and fees, the higher the State student aid effort. Thus, it appears that a trade off has been made between having a low tuition, low student aid policy at the State's public university and a high tuition, high student aid policy. In so far as the Federal government has remained neutral between these two alternatives no value judgment as to the effectiveness of SSIG along these lines is possible.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

National Association of State Scholarship and Grant Programs, 9th Annual Survey, September, 1977.

Education Commission of the States, "Study of State Student Incentive Grant Program and State Scholarship Programs," U.S. Office of Education, OED, Contract #300-76-0376.

SSIG Program files.

For further information about program operations,

Contact: Lanora G. Smith, 472-4265

For further information about studies of program effectiveness,

Contact: Alexander Ratnofsky, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

College Work-Study Program

Legislation:

Public Law 89-329 of the Higher Education Act of 1965, Title IV-C; as amended Public Law 94-482.

Expiration Date:

September 30, 1982

Funding History:	Year	Authorization	Appropriation 1/
	1965	2/	$ 55,710,000
	1966	$129,000,000	99,123,000
	1967	165,000,000	134,100,000
	1968	200,000,000	139,900,000
	1969	225,000,000	139,900,000
	1970	275,000,000	152,460,000
	1971	320,000,000	158,400,000 3/
	1972	330,000,000	426,600,000 4/
	1973	360,000,000	270,200,000
	1974	390,000,000	270,200,000
	1975	420,000,000	420,000,000
	1976	420,000,000	390,000,000
	1977	450,000,000	390,000,000
	1978	570,000,000	435,000,000
	1979	600,000,000	550,000,000
	1980	630,000,000	550,000,000 5/

1/ Up until Fiscal Year 1972, the CWS Fiscal Year appropriation was used to fund program operations during the calendar year. With Fiscal Year 1972, the program became one full year forward-funded.

2/ The Economic Opportunity Act of 1964 authorized a lump sum of $412,500,000 for three youth programs including College Work-Study.

3/ Actual funds available for CWS in this year amounted to $199,700,000, including reprogrammed funds.

4/ Includes $244,600,000 forward funding for Fiscal Year 1973, plus a supplemental of $25,600,000. A total of $237,400,000 was available for use during Fiscal Year 1972 from a combination of Fiscal Year 1972 from a combination of Fiscal Year 1971 and Fiscal Year 1972 appropriations.

5/ Budget request.

Program Goals and Objectives:

The objective of the CWSP is to stimulate and promote the part-time employment of students with great financial need in eligible institutions who need earnings from employment to finance their courses of study. By subsidizing the part-time employment of needy students the program contributes to the longer term Federal goal of equality of educational opportunity at the postsecondary level.

Program Operations:

Under the legislation, employment partially financed by College Work-Study funds is made available in public or private non-profit organizations including the institution in which a student is enrolled.

Grants are made to higher education institutions for partial reimbursement of wages paid to students. Since August 1968, these Federal grants have covered up to 80 percent of the student wages, with the remainder paid by the institution, the employer, or some other donor.

Two percent of each year's appropriation is reserved for Puerto Rico, Guam, American Samoa, the Virgin Islands, and the Trust Territory of the Pacific Islands. A portion is also reserved for students from American Samoa/Trust Territories who attend eligible institutions of postsecondary education outside Samoa or the Trust Territory. The rest is allotted among the 50 States, the District of Columbia, and the Northern Mariana Islands, 52 areas, by formula. The formula was based on three factors:

(1) The number of full-time higher education students each area has relative to the total number for the 52 areas.

(2) The number of high school graduates each area has relative to the total number for the 52.

(3) The number of related children under 18 years of age living in families with income of less than $3,000 each area has relative to the total number for 52.

Program Scope:

During Academic Year 1978-79, 3,230 institutions of postsecondary education participated in the CWS program enabling approximately 796,000 students to find part-time employment. The average annual student earnings, including the institutional matching share, amounts to an estimated $600 per student. About 18 percent of CWS funds help finance off-campus jobs held by 16 percent of the CWS job holders. Gross compensation earned by students was almost $478 million.

Data from the fiscal operations report show that during Academic Year 1978-79, CWSP funds were distributed to institutions as follows: public universities, 46 percent; other four-year public, 46 percent; public two-year, 19 percent, private universities, 31 percent; other four-year private; 31 percent; private two-year, 2 percent; public vocational, 2 percent; and proprietary, 2 percent. Ninety-one percent of the funds went to undergraduates while 9.0 percent was awarded to students at the post-baccalaureate level.

For the first time a new procedure was employed to determine the awards for the academic year 1979-80. This procedure devised by a panel of experts appointed by the Commissioner is more streamlined than its predecessor, is based only on verifiable data and is centrally rather than regionally controlled. Table 1 displays the percentage of awards going to different groups of institutions in academic years 1978-79 and 1979-80. It indicates the difference the new procedure makes. In general the various private institutions are getting a greater percentage of campus based funds and the public institutions a smaller percentage of funds than they did under the previous allocation system. It is anticipated that differences in funding patterns may be greater in future years when conditional guarantees (that institution will get at least 90 percent of the higher of the 2 previous years' awards) will no longer be made. However students with the greatest financial need will be better served with the new system.

Program Effectiveness and Progress:

The CWSP appears to be effective in stimulating the employment of needy students. The program is unquestionably popular with postsecondary institutions both as a student aid program and as a means of providing a pool of highly subsidized labor. This pool is also welcomed by other participating non-profit institutions.

With respect to the Federal goals of equality of access and choice, the program appears to be somewhat successful in promoting these ends. A survey in September 1977 indicates that well over half (55 percent) of CWSP participants at all eligible institutions were female, 29.3 percent were from ethnic minorities, and 28.1 percent were dependent undergraduates with family incomes less than $7,500 1/. These percentages are substantially in excess of the percentages in total enrollment in traditional postsecondary institutions of students with these characteristics. Nonetheless, in that the program is designed to benefit students in great financial need, it is somewhat surprising that its impact on minority and low-income students is substantially less than that of the Basic Grant and Supplemental Grant Programs. Twenty-eight percent of CWS recipients are dependent undergraduates with family incomes in excess of $11,999, while the comparable percentages for BEOGP and SEOGP are 11.9 and 18.6 respectively. In terms of minority status, 70.7 percent of CWS participants are from non-minority groups compared to about 60 percent for BEOGP and SEOGP. Thus, CWSP is clearly more middle class and non-minority in its practical orientation than are the two grant programs.

1/ The studies (Higher Education Panel Surveys No. 27 and No. 36, American Council on Education, Washington, D. C.) did not include proprietary or public vocational schools.

TABLE 1

COMPARISON OF ALLOCATION 1978-79 and 1979-80

COLLEGE WORK-STUDY PROGRAMS

(dollars in thousands)

	Allocation 1978-1979 Award Year $$	Allocation 1979-1980 Award Year[1/] $$	% inc/decr	Per cent of Total 78-79	79-80
U.S. TOTAL	433,800	547,023	26.1	100	100
STATE TOTAL					
PUB 4-YR	200,406	235,730	17.6	46.2	43.1
PUB 2-YR	82,418	93,190	13.1	19.0	17.0
PRI 4-YR	132,864	194,344	46.3	30.6	35.5
PRI 2-YR	10,454	15,178	45.2	2.4	2.8
PROP	7,658	8,580	12.0	1.8	1.6

1/ Final Allocation Data: Run of 6-22-79

Source: Analysis Section
BSFA/CSGB/DPPD
June 27, 1979

Recent data for first-time, full-time freshmen from the fall of 1978 is displayed in Table 2. These data indicate that the need-based dimension of the CWSP manifests itself as a decline in the proportion of students receiving such aid as parental income rises and as tuition increases. At the $0-499 tuition level the proportions of students using this means of financing net price decline from 15 percent at the lowest parental income level to 2 percent at the $30,000 or more income level. In the highest tuition schools ($3,000 or more) the proportion of students receiving this assistance declines from 46 percent to 6 percent between the less-than-$6,000 and the $30,000 or more income levels. At the lowest parental income level the proportion of students receiving CWS assistance increases from 15 percent in the lowest tuition category to 46 percent in the $3,000-or-more tuition category. This general relationship holds for all but the highest income level. There is very little variation in award size with either parental income or tuition.

Table 3 displays fall 1978 data for first-time, full-time freshmen on all earnings (CWS and other earnings combined). These data indicate the following: (1) low-income students are less likely than middle-income students to finance their loan-work burdens by working; (2) at all but the highest income level the proportions of students using this means of financing generally increases with tuition; (3) at all tuition levels students from the lowest parental income level earn less than those at the four higher parental income levels; (4) except between the two lowest tuition categories there is a tendency for total earnings to rise with tuition.

A comparison of student data on the distributions of CWS, and all earnings indicate that middle income students who work earn a larger portion of their loan/work burden than do low-income students at all tuition levels. This does not necessarily imply that middle income students face a heavier work burden. The majority of their earnings are not derived from CWS jobs and may come from jobs paying higher than the minimum wage.

Ongoing and Planned Evaluation Studies:

The Office of Education funded a set of four major national studies which will assess the impact of Federal financial aid on students, postsecondary institutions and State governments. Study A is assessing the impact of Federal and State financial aid programs and policies on the choice process of postsecondary bound students. Study B is examining the way in which market conditions (and perceptions thereof) interact with educational costs and financial aid to influence access to postsecondary institutions. Study C is examining the role of financial aid in student persistence in postsecondary education. Study D is examining the relationship between Federal and State student aid programs and institutional practices in recruiting and admitting students and dispensing financial aid.

TABLE 3

1978 FULL-TIME, FIRST-TIME FRESHMAN DEPENDENT STUDENTS

Distribution of Participation in Any Type of Work by Parental Income and College Tuition Levels

TUITION	STATISTICS	$0-5999	$6000-12499	$12500-19999	$20000 -29999	$30000 OR MORE
$0-499	PPART[1)	45%	51%	61%	59%	55%
	MEAN 2)	$654	$714	$727	$723	$798
$500-999	PPART	56%	65%	70%	68%	58%
	MEAN	$619	$701	$756	$769	$771
$1000-1999	PPART	61%	65%	67%	66%	56%
	MEAN	$660	$698	$748	$772	$736
$2000-2999	PPART	65%	73%	75%	73%	56%
	MEAN	$730	$787	$855	$870	$824
$3000 OR MORE	PPART	74%	80%	81%	78%	56%
	MEAN	$775	$839	$873	$897	$797

1) PPART - Proportion of Students in Category Participating in the Program

2) MEAN - Average or Mean Earnings

Source: Prepared by the Postsecondary Programs Division OED/USOE from Data obtained from the Cooperative Institutional Research Program, American Council on Education for 1978.

Another major study of Basic Grants and other OE student financial aid programs which is in progress will examine how the management and operations of these programs impact on the structure of financial educational opportunity, the level and distribution of participation in postsecondary education, and the efficiency of student aid delivery.

Sources of Evaluation Data:

Program files, Bureau of Higher and Continuing Education.

Higher Education Panel Survey #27, "Student Assistance Programs," American Council on Education, Washington, D. C., October 1975.

Higher Education Research Institute: Preliminary Tabulations from Studies on Impact of Student Financial Aid Programs, Phase 2, OPBE Contract #300-75-0382.

Higher Education Panel Survey #36, "Estimated Number of Student Aid Recipients, 1976-77, "American Council on Education, Washington, D. C., September 1977.

For further information about program operations,

Contact: Robert Coates, 472-2840

For further information about studies of program effectiveness,

Contact: Ann Hershner, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

National Direct Student Loan Program

Legislation:	Expiration Date:
Title IV, Part E of the HEA 1965 Public Law 89-329, as amended. 1/	June 30, 1981

Funding History:	Year	Authorization 2/	Appropriation 3/
	1966	$179,300,000	$181,550,000
	1967	190,000,000	192,000,000
	1968	225,000,000	193,400,000
	1969	210,000,000	193,400,000
	1970	325,000,000	195,460,000
	1971	375,000,000	243,000,000
	1972	375,000,000	316,600,000 4/
	1973	400,000,000	293,000,000 5/
	1974	400,000,000	298,000,000
	1975	400,000,000	329,440,000
	1976	400,000,000	331,960,000
	1977	400,000,000	323,220,000
	1978	400,000,000	325,660,000
	1979	400,000,000	328,900,000
	1980	400,000,000 (est.)	300,800,000 (est.)

1/ Prior to FY 1973, the program was known as the National Defense Student Loan Program. Title II of NDEA of 1958 as amended (Public Law 85-864).

2/ Authorization for Federal capital contributions to loan funds only. In addition, a total of $25,000,000 was authorized for loans to institutions from Fiscal Year 1959 up to a maximum of $25 million.

3/ Appropriation includes contributions to loan funds, loans to institutions, and Federal payments to reimburse institutions for teacher/military cancellations.

4/ Actual Fiscal Year 1972 appropriation was $316,600,000. However, $23.6 million was mandated to be used during Fiscal Year 1973. The difference of $293.0 million was made available for use during Fiscal Year 1972, of which $286 million was for contribution to loan funds.

5/ Of this amount $269,400,000 was available for use in Fiscal Year 1973 and $23,600,000 was mandated for Fiscal Year 1974.

Program Goals and Objectives:

The objective of the program is to allocate funds to postsecondary institutions for the purpose of making long-term, low-interest loans to students with financial need. Those loans are to provide lower-income students with an additional source of funds for access to postsecondary education and to help provide middle-income students with another source of funds with which they may choose a broader range of institutions. Such loans complement other forms of student financial assistance such as Basic and Supplemental Educational Opportunity Grants, College Work-Study, and Guaranteed Student Loans.

Program Operations:

Funding is initially allotted to States by means of an allotment formula and by regulation. Prior to FY 1979 funding levels for institutions within each State were recommended by regional review panels consisting of OE Program Officers from the regional and national offices and financial aid officers selected from institutions in that region. Recommended funding levels were generally in excess of the annual NDSL allotment for a State. In certain cases, the entire group of institutions within a State received less than 100 percent of their panel approved amount. However, each institution within that group received a pro-rated reduction in its allocation which, in percentage, was equal to that of every other institution in the State. Currently, funding levels are determined by computer. Each institution receives the larger of a "conditional guarantee" based on its program expenditures or its "fair share" determined by formula. Institutions often distribute NDS loans in conjunction with other forms of financial aid and financial aid officers "package" these various aid components in different ways depending on available funds and student circumstances.

Students may borrow a total of: (a) $2,500 if they are enrolled in a vocational program or if they have completed less than two years of a program leading to a bachelor's degree; (b) $5,000 if they are undergraduate students and have already completed two years of study toward a bachelor's degree (this total includes any amount borrowed under the NDSL for the first two years of study); (c) $10,000 for graduate or professional study (this total includes any amount borrowed under the NDSL for undergraduate study). Upon leaving the institution, students sign a repayment agreement which specifies the duration and amount of repayment. After a nine-month grace period following cessation of studies, the student begins repayment (on a monthly, bimonthly, or quarterly basis), normally over a ten-year period. The borrower's ten-year repayment period may be deferred not to exceed three years for service with VISTA, the Peace Corps, or military services.

A percentage of the total loan amount may be cancelled for individuals providing special services in specific teaching areas and for members of the Armed Forces of the United States' serving in areas of hostility.

Program Scope:

In Fiscal Year 1978, over 3,300 institutions participated in the program. The law provides limits on the aggregate amount which can be allocated to proprietary institutions. The total allocation of Federal Capital Contribution to such institutions may not exceed the difference between $190 million and the total appropriation. It is estimated that the average loan in Fiscal Year 1978 was $800 and that this average was maintained in Fiscal Year 1979. Estimated data for Fiscal Year 1979 show that $58.9 million in prior loans was cancelled under the Part E statutory provisions.

The new Federal Capital Contribution for FY 1979 is $310.5 million. NDSL award expenditures are estimated to be $711 million in FY 1979, an increase of 0.7 percent over the $707 million expended in the previous year. The difference between expenditure levels and FCC represents the cash available for new loans from repayment of loans made to borrowers in previous years plus the institutional matching share for new FCC. This cash flow from repayments amounted to $383 million in FY 1979, an increase of 10 percent from the $348 million of the previous year.

Of the total FY 1979 NDSL expenditure of $711 million, $375 million, or 53 percent of total loan funds, will be utilized by public 4-year colleges and universities and $277 million, or 39 percent will be utilized by private 4-year institutions. Proprietary institutions are expected to utilize 8.3 percent of total available funds.

For FY 1979, repayment cash flow was 1.49 times new Federal Capital Contribution. For FY 1978 that ratio was 1.35 times new FCC. Repayment cash flow is expected to increase by approximately 10 percent annually for the next several years and at an even higher rate if colleges and universities increase their collections on defaulted loans.

Program Effectiveness and Progress:

Program effectiveness can be partially measured by analyses of the distributions of funds for various characteristics of student borrowers.

These analyses focus upon a number of significant trends related to the following issues: (1) what are the institutional and income characteristics of NDSL recipients?; (2) what is the relationship between use of National Direct loans and use of guaranteed student loans?; and, (3) what is the status of delinquencies and defaults in the NDSL program?

I. Analysis of NDSL Recipients

Analysis of NDSL recipients from the 1978 AMS survey indicates that about 31 percent of all campus-based aid recipients have NDSL as a component in their aid package (unduplicated). This proportion varies by type and control of institution. For example, 47.3 percent of aid recipients at four-year private institutions have an aid package containing an NDS loan whereas only 6.6 percent of aid recipients at two-year public colleges have packages containing this type of loan. This large variation reflects the wide differences in cost between the two types of institutions, the generally lower parental contributions to those attending two-year colleges, and the larger proportion of total cost covered by BEOG's for aid recipients at these two-year institutions.

Distribution of NDSL by family income confirms the observation from earlier years that NDSL is no longer as highly targeted to the lowest income groups. For example, although 49.2 percent of NDSL recipients are from families with incomes under $12,000, 43.1 percent have family incomes between $12,000 and $25,000 and another 7.7 percent reflect family incomes above $24,000. Thus, about 51 percent of NDSL loans go to students with family income of $12,000 and above. This pattern of distribution primarily reflects the fact that over half of all students receiving an NDSL attend four-year private colleges and universities where total costs and loan-work burden are highest. That distribution also reflects the fact that grant aid has been heavily targeted toward those with lower family incomes and has been heretofore less available to those from middle and upper-middle income families.

The 1978 CIRP data for full-time, first-time Freshmen is consistent with the pattern observed for recipients of guaranteed student loans. The highest participation rates (39 percent) are by students from the two lowest income categories ($0-12,500) attending the highest-cost colleges ($3,000+). However, the Freshman NDSLP participation rate for this group is nearly twice as high (39 percent vs. 22 percent) as the participation in GSLP for Freshman borrowers with similar incomes attending institutions with similar costs. This indicates that NDSL awards, at least for Freshmen, are more concentrated among students with lower family incomes and greater financial need.

II. Relationship between utilization of NDSLP and GSLP

For a number of years different hypotheses have existed about whether guaranteed student loans are regularly packaged with NDSL's, or whether NDSL funds serve primarily as a substitute for unavailable guaranteed student loans.

Analysis of 200,975 borrowers who were full-time freshmen of the Fall of 1978 revealed the following distribution, by type of loan:

NDSL only	79,175	(39.4%)
GSL only	107,372	(53.4%)
Both NDSL and GSL	14,428	(7.2%)
TOTAL	200,975	100%

TABLE I

1978 FULL-TIME, FIRST-TIME FRESHMAN DEPENDENT STUDENTS

Distribution of Participation in the NDSL Program
by Parental Income and College Tuition Levels

TUITION	STATISTICS	$0-5999	$6000-12499	$12500-19999	$20000 -29999	$30000 OR MORE
$0-499	PPART1)	4%	4%	3%	2%	1%
	MEAN 2)	$752	$656	$551	$729	[illegible]
$500-999	PPART	13%	15%	13%	6%	2%
	MEAN	$633	$725	$828	$1053	$1053
$1000-1999	PPART	16%	16%	11%	6%	2%
	MEAN	$678	$859	$901	$1010	$1072
$2000-2999	PPART	23%	24%	21%	13%	3%
	MEAN	$794	$859	881	$954	$1119
$3000 OR MORE	PPART	39%	39%	34%	20%	4%
	MEAN	$928	$918	$947	$968	$1028

1) PPART - Proportion of Students in Category Participating in the Program

2) MEAN - Average or Mean Award in Category

Source: Prepared by the Postsecondary Programs Division OED/USOE from Data obtained from the Cooperative Institutional Research Program, American Council on Education for 1978.

TABLE 2

1978 FULL-TIME, FIRST-TIME FRESHMAN DEPENDENT STUDENTS

Distribution of Participation in the College Work-Study Program by Parental Income and College Tuition Levels

TUITION	STATISTICS	$0-5999	$6000-12499	$12500-19999	$20000 -29999	$30000 OR MORE
$0-499	PPART1)	15%	13%	9%	5%	2
	MEAN 2)	$618	$530	$529	$554	[illegible]
$500-999	PPART	20%	19%	13%	7%	[illegible]
	MEAN	$494	$499	$521	$553	[illegible]
$1000-1999	PPART	26%	19%	14%	7%	[illegible]
	MEAN	$507	$578	$612	$620	[illegible]
$2000-2999	PPART	30%	34%	28%	19%	[illegible]
	MEAN	$606	$595	$600	$570	[illegible]
$3000 OR MORE	PPART	46%	47%	42%	29%	[illegible]
	MEAN	$619	$658	$658	$653	[illegible]

1) PPART - Proportion of Students in Category Participating in the Program

2) MEAN - Average or Mean Earnings

Source: Prepared by the Postsecondary Programs Division OED/USOE from Data obtained from the Cooperative Institutional Research Program, American Council on Education for 1978.

This distribution indicates that only 7.2 percent of all borrowers have a package containing both an NDSL and a GSL.

It was also found that for freshmen there were differential awards of NDSL's and GSL's by family income level regardless of institutional cost.

Income Level	NDSL	GSL	Both
< $8,000	58.8	34.5	6.7
$8,000 - $20,000	53.7	40.3	6.0
< $20,000	32.0	62.8	5.2

We also observed that the largest proportion of students from the lowest income category (< $8,000) received NDSL's at institutions having tuitions between $1,500 - $2,800. However, the largest proportion of students from the highest income category also received NDSL's at institutions having the identical cost range of $1,500 - $2,800. Furthermore, low-income NDSL recipients at the highest cost institutions comprised only 6.3 percent of all NDSL recipients while the highest-income NDSL borrowers represented 12.5 percent of all NDSL recipients at the highest-cost insitutions. This would appear to indicate the probability that, while NDSL funds are still widely available to lower-income students the progressivity of that targeting is not as pronounced as in earlier years and NDSL funds are increasingly available to middle-income students especially at medium and higher-priced institutions.

Among the lowest-income group, there were 1.7 times as many NDSL's as GSL's, regardless of institutional cost. Among the highest-income, that ratio was reversed, showing 2.0 GSL's for every NDSL. When analyzed by combinations of income and institutional cost, however, the following pattern appears:

	Ratio of NDSL's to GSL's	Ratio of GSL's to NDSL's
Lowest-income Lowest-cost	2.2	--
Lowest-income Highest-cost	1.6	--
Highest-income Lowest-cost	--	2.0
Highest-income Highest-cost	--	2.6

One inference is that the packaging of a GSL and an NDSL is more dependent on unique or individual circumstances (probably related to availability of the expected parental contribution) than to variations of gross income and institutional cost.

III. NDSL delinquency and default

Total delinquency and default in NDSLP has been increasing rapidly during recent years. For example, at the end of Fiscal Year 1973, the total number of students whose accounts were more than 120 days past due (the GSLP criterion for default) was approximately 423,000 and the value of those delinquent accounts, $262 million. By the beginning of Fiscal Year 1979, however, the number of students with seriously delinquent loans had risen to about 580,000 and the value of these loans to $704 million. Furthermore, about 39 percent of these loans have been in default more than two years, indicating that they may be much more difficult to collect.

Many of NDSLP's problems originate, however, at the disbursement level (educational institutions) where no immediate and direct program control is possible. However, over the past two years the Bureau of Student Financial Assistance has initiated administrative action providing incentives for institutions to reduce their delinquency rates and to forward to OE for collection loans which have been in default for more than two years. Furthermore, eligibility for additional amounts of Federal Capital Contribution depends on having a default rate of less than 10 percent or on a minimum 25 percent improvement in the default experience from the previous year.

During FY 1979, Applied Management Sciences of Silver Spring, Maryland completed Stage I of a Study of Program Management Procedures in the Campus-Based and Basic Grant Programs. Findings related to management of the NDSL program are:

-- analysis of 77 audit reports from the period July 1974 through November 1977 showed major deficiencies of various kinds in administration of loan programs.

-- the most frequently observed deficiencies related to internal controls, accounting systems, and record maintenance. These problems were noted in 45 percent of the audit reports analyzed but were found in 75 percent of the 4-year institutions.

-- deficiencies in refund policies and procedures were noted in 44 percent of the audits, all of them at proprietary vocational schools.

-- violations of institutional matching provisions were observed in 29 percent of examined audits, and occurred in five of seven junior or community colleges.

-- analysis of 175 program reviews conducted from April 1 to June 30, 1978 major problems with record maintenance, accounting procedures, improper disbursement, and poor collection efforts. Proprietary schools had a significantly smaller percentage of these problems than public and private, non-profit institutions.

Ongoing and Planned Evaluation Studies:

Stage II of the AMS study will provide data on the specific effects of OE and institutional operation procedures upon students and upon the institutions themselves.

Sources of Evaluation Data:

Cooperative Institutional Research Project (CIRP), 1978 Report. Los Angeles, California, 1979.

Study of Program Management Procedures in the Campus-Based and Basic Grant Programs, U.S. Office of Education, Office of Evaluation and Dissemination, Washington, D. C., 1979.

Program files, Bureau of Student Financial Assistance, U.S. Office of Education.

For further information about program operations,

Contact: David Iwamoto, 245-1747

For further information about program effectiveness,

Contact: Daniel Morrissey, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Guaranteed Student Loan Program

Legislation:

Title IV-B, Higher Education Act of 1965, enacted by Public Law 89-329; amended by Public Laws 89-698, 89-752, 89-794, 90-460, 90-575, 91-95, 92-318, 92-391, 93-269, 94-328, 94-482, 95-43 and 96-49.

Expiration Date:

September 30, 1981

Funding History:	Year	Loan Volume	Obligations 1/	Appropriation 1/
	1966	$ 77,492,000 2/	$ -	$ 9,500,000 2/
	1967	248,494,000 2/	15,632,000	43,000,000 2/
	1968	435,849,000 2/	39,937,000	40,000,000 2/
	1969	686,676,000	60,571,000	74,900,000
	1970	839,666,000	118,387,000	73,226,000
	1971	1,043,933,000	135,616,000	161,200,000
	1972	1,301,577,000	228,708,000	209,365,000
	1973	1,198,523,000	304,237,000	291,640,000
	1974	982,000,000 3/	422,321,000	398,668,000
	1975	1,208,000,000 3/	464,163,000	594,200,000
	1976	1,735,000,000 3/	560,889,000	807,787,000
	1977	1,470,000,000 3/	538,996,000	357,312,000
	1978	1,648,000,000 3/	737,021,000	479,663,000
	1979	2,250,000,000	788,023,000	945,030,000
	1980	2,500,000,000 (est.)	793,624,000 4/ (est.)	959,621,000 (est.)

1/ Includes: advances for reserve funds, expenditures for interest payments, special and administrative allowances, death and disability claims, bankruptcy claims and default claims. Costs for computer S & E items are not included except for Fiscal Years 1978 and 79 which do include computer costs of $10.5 and $12.5 million respectively.

2/ Includes loans under the now repealed National Vocational Student Loan Insurance Act of 1965.

3/ Disbursed loan volume rather than commitments as for prior years.

4/ Excludes borrowing authority of $40 million in Fiscal Year 1978 and $25 million in Fiscal Year 1979 to remain available without Fiscal Year limitations.

Program Goals and Objectives:

The objective of the program is to provide loans to students attending eligible institutions of higher education, vocational, technical, business and trade schools, and eligible foreign institutions. This program is designed to utilize non-Federal loan capital supplied primarily by commercial lenders but also by some educational institutions and State and private agencies acting as direct lenders. These loans are guaranteed either by individual State or private nonprofit agencies (reinsured by the Federal government) or directly by the Office of Education. The objective of such guarantees is to provide long term low interest, deferred payment, non-collaterized loans to students. This permits lenders to make loans directly to students (not their families) without these students having to establish credit ratings. The goal is to provide the broadest possible access to loan capital without the usual constraints of credit-worthiness and provision of collateral to secure the loan. Such broad access to loan capital is intended to provide freer access by students to postsecondary education and a wider choice in the types of institutions attended. Guaranteed loans are an important supplement to other Office of Education programs of student financial aid, providing low-income students with an additional source of funds and providing many middle and upper middle-income students with their primary source of Federal assistance.

Program Operations:

The principal of the loan is provided by participating lending institutions such as commercial banks, savings and loan associations, credit unions, insurance companies, pension funds, State agencies, and eligible educational institutions. The loan is guaranteed by a State or private non-profit agency or insured by the Federal government.

The following is a description of the program during Fiscal Year 1979. A student is eligible if he or she is enrolled and in good standing as determined by the institution, or accepted for enrollment at least half time at an eligible institution and is a United States citizen or is in the United States for other than a temporary purpose and intends to become a permanent resident thereof. Annual loan limits are $2,500 for undergraduate study and $5,000 for graduate study. The total aggregate of loans outstanding cannot exceed $7,500 for undergraduate or professional students and $15,000 for graduate students, including undergraduate loans. All students are eligible for Federal interest benefits. The Federal government will pay to the lender the total interest due prior to the beginning of the repayment period and during authorized deferment periods thereafter. The student pays the total interest at an annual percentage rate of 7 percent during the repayment period, which begins 9-12 months after the normal full-time academic workload. Deferment of repayment or failure to carry at least one-half the normal full-time academic workload. Deferment of repayment is provided when the student returns to full-time study at an eligible educational institution, enrolls in certain graduate fellowship programs, or participates in Commissioner of Education. A deferment period of up to three years is also provided while the borrower is serving active duty in the Armed Forces, or in the Peace Corps, or full-time volunteer programs conducted by ACTION (which includes VISTA, University Year for ACTION, ACTION Cooperative Volunteer Programs, and Program for Local Service). In addition, repayment may be deferred during a single period, not to exceed one year, during such time that the borrower is seeking and unable to find full-time employment.

A statutory formula provides for a special allowance to be paid to lenders in order to promote an equitable return to holders of loans, to encourage prompt payment, to give appropriate consideration to relative administrative costs and money market conditions, and to give lenders a better and more accurate way of assessing such payments for current and prospective payments. The special allowance is computed by determining the average of the bond equivalent rates of the ninety-one-day Treasury bills for the three month period, by subtracting 3.5 percent from this average, by rounding the resultant percent upward to the nearest one-eighth of one percent, and by dividing the resultant percent by four. There is no ceiling on the special allowance rate effective with the three month period ending December 31, 1979.

Other significant revisions include: (1) a series of incentives to encourage more States to form and operate their own guarantee agencies; existing guarantee agencies are also given additional compensation in order to carry out specific functions; (2) in some cases, there are certain limitations on the total annual amount of the loan depending upon who makes the loan and the total cost of education at the institution attended by the borrower; (3) under certain conditions, guarantee agencies may be reinsured by the Federal government at 100 percent of losses due to claims for death, disability, and default; (4) student loan obligations may not be discharged in bankruptcy within 5 years of the time the repayment of the loan was to have begun except in the case of undue borrower hardship; and (5) the Commissioner is authorized to contract for assistance in the recovery of defaulted loans.

Program Scope:

Cumulative dollar amount of disbursements insured through Fiscal Year 1978 are allocated 39 percent to the Federally Insured Student Loan Program (FISLP) and 61 percent to State Guarantee Agencies. Loans are provided to students attending 3,581 eligible schools of higher education, 3,289 vocational, technical, business, and trade schools, and 856 foreign educational institutions.

In Fiscal Year 1978 an estimated 12,000 institutions were approved and making loans. These lenders made an estimated 236,000 Federal loans as well as an estimated 789,000 State, for a total of 1,025,000 loans disbursed. The total amount of loan disbursements was estimated at $1,854,000,000. Federal loans disbursements were estimated at $417,000,000 and $1,435,000,000 for State and other. The amount of the average loan disbursed was $1,809.

Of the total Fiscal Year 1978 obligations, $248.6 million were for interest benefits, $194.5 million for special allowance payments, $5.6 million for death and disability payments, $9.3 million for bankruptcy claims, and $206.6 million for the payment of default claims.

Program Effectiveness and Progress:

I. Analysis of GSL Recipients

Analysis of GSL recipient data from the 1978 AMS survey indicates that campus-based aid recipients also holding a GSL constitute about 27 percent of all aid recipients (unduplicated). This proportion is comparable to the 31 percent figure for NDSL. This proportion varies by type and control of the institutions. For example, 30.7 percent of aid recipients at four-year private institutions obtain a GSL whereas only 20.5 percent of those receiving aid at four-year public institutions do so, and only 9.1 percent of those receiving assistance at two-year public colleges. These large variations in GSL utilization primarily reflect wide differences in total cost among these different types of institutions and the larger contribution of other types of assistance to total cost at two- and four-year public colleges.

Distribution of GSL by family income confirms observations from earlier years that this type of loan is utilized by borrowers from higher-income families than those awarded NDS loans. For example, only 21.4 percent of GSL holders are from family incomes of less than $12,000 (49.2 percent for NDSL recipients). Twenty-four percent of those using this type of loan have family incomes in excess of $25,000 (7.7 percent for NDSL recipients). This higher-income distribution primarily reflects heavier GSL utilization at those colleges and universities having higher-income students and also partly reflects the increased availability of GSL loans to higher-income borrowers resulting from 1977 legislative changes.

II. Analysis of Freshmen GSLP Participation 1/

The CIRP data for Fiscal Year 1978 indicates that Freshmen participate almost proportionately with other classes in utilization of the GSLP program. Whereas the overall program participation rate is about 16 percent, the participation rate for Freshmen is about 14 percent. This appears to be a significant change from Fiscal Year 1977 data which showed a 14 percent total participation rate and only a 10 percent rate for Freshmen.

1/ See National Direct Student Loan Program section for discussion of overlap with GSL recipients.

TABLE

1978 FULL-TIME, FIRST-TIME FRESHMAN DEPENDENT STUDENTS

Distribution of Participation in the GSLP Program by Parental Income and College Tuition Levels

TUITION	STATISTICS	$0-5999	$6000-12499	$12500-19999	$200000-29999	$30000 OR MORE
$0-499	PPART 1)	5%	6%	7%	5%	2%
	MEAN 2)	$767	$752	$928	$973	$1378
$500-999	PPART	12%	13%	14%	12%	6%
	MEAN	$954	$1104	$1297	$1441	$1439
$1000-1999	PPART	13%	15%	17%	15%	6%
	MEAN	$1107	$1191	$1390	$1554	$1543
$2000-2999	PPART	19%	20%	21%	19%	8%
	MEAN	$1106	$1208	$1306	$1482	$1616
$3000 OR MORE	PPART	22%	13%	25%	25%	9%
	MEAN	$1271	$1248	$1360	$1447	$1591

1) PPART - Proportion of Students in Category Participating in the Program

2) MEAN - Average or Mean Award in Category

Source: Prepared by the Postsecondary Programs Division OED/USOE from Data obtained from the Cooperative Institutional Research Program, American Council on Education for 1978.

Variation from this average participation rate of 14 percent for Freshmen is primarily related to differences in tuition. For example, the participation rate ranges from a low of 5 percent for borrowers from the lowest-income families attending the lowest-cost schools to a high of 22 percent for the lowest-income borrowers attending the highest-cost category of schools. For those in middle-and higher-income categories, participation rates also rise as tuition levels increase. The highest participation rate for any category of Freshmen is 25 percent for those having family incomes of $12,500 to $30,000 and attending the highest cost category schools.

III. Study Findings

A Study of Requirements for Forming State Guarantee Agencies was completed in July, 1979 by Touche, Ross and Company, Washington, D. C. This study was in response to Section 411(c) of the Education Amendments of 1976 in which Congress expressed its intention that each State form its own student loan guarantee agency. Touche, Ross conducted a cost audit and management analysis of 22 of the 24 State guarantee agencies existing at the end of Fiscal Year 1977.

In general, existing State guarantee agencies were found to be effective in delivery of diverse services relating to their primary loan guarantee function. Twenty-one of the agencies were found to be financially viable in relation to the fiscal incentives provided in the 1976 legislation. Despite efficiency and effectiveness of overall operations, specific areas were found to require further strengthening: (1) internal management information systems were found to be rudimentary in relation to the real information needs of management; (2) external reporting as specified by the Office of Education has been characterized by lack of proper definitions and report utilization; (3) external reporting by State guarantee agencies has often been characterized by incomplete and inconsistent data causing State agency aggregated data to be of limited usefulness to OE and to the Congress; (4) relatively few agencies have developed comprehensive compliance programs to detect and reduce program fraud and abuse; (5) the processing systems utilized by some agencies were either not sufficiently automated in relation to the large volume of paperwork or, if automated, were inefficiently utilized; and, (6) several agencies provided no enforcement of "due diligence" regulations and some other agencies took on such enforcement duties directly rather than enforce lender compliance.

State guarantee agencies were judged to be particularly effective, however, in their general relationships with lenders and, particularly, in their lender promotion activities. An important result has been rapidly increasing loan volume, one measure of increased loan availability to borrowers. Agencies are also very efficient in processing default claims, Variation from this average participation rate of 14 percent for Freshmen is primarily related to differences in tuition. For example, the participation rate ranges from a low of 5 percent for borrowers from the lowest-income families attending the lowest cost schools to a high of 22 percent for the lowest-income borrowers attending the highest-cost category of schools. For those in middle and higher income categories, participation rates also rise as tuition levels increase. The highest participation rate for any category of Freshmen is 25 percent for those having family incomes of $12,500 to $30,000 and attending the highest cost category schools.

III. Study Findings

A Study of Requirements for Forming State Guarantee Agencies was completed in July, 1979 by Touche, Ross and Company, Washington, D. C. This study was in response to Section 411(c) of the Education Amendments of 1976 in which Congress expressed its intention that each State form its own student loan guarantee agency. Touche, Ross conducted a cost audit and management analysis of 22 of the 24 State guarantee agencies existing at the end of Fiscal Year 1977.

In general, existing State guarantee agencies were found to be effective in delivery of diverse services relating to their primary loan guarantee function. Twenty-one of the agencies were found to be financially viable in relation to the fiscal incentives provided in the 1976 legislation. Despite efficiency and effectiveness of overall operations, specific areas were found to require further strengthening: (1) internal management information systems were found to be rudimentary in relation to the real information needs of management; (2) external reporting as specified by the Office of Education has been characterized by lack of proper definitions and report utilization; (3) external reporting by State guarantee agencies has often been characterized by incomplete and inconsistent data cause State agency aggregated data to be of limited usefulness to OE and to the Congress; (4) relatively few agencies have developed comprehensive compliance programs to detect and reduce program fraud and abuse; (5) the processing systems utilized by some agencies were either not sufficiently automated in relation to the large volume of paperwork or, if automated, were inefficiently utilized; and, (6) several agencies provided no enforcement of "due diligence" regulations and some other agencies took on such enforcement duties directly rather than enforce lender compliance.

State guarantee agencies were judged to be particularly effective, however, in their general relationships with lenders and, particularly, in their lender promotion activities. An important result has been rapidly increasing loan volume, one measure of increased loan availability to borrowers. Agencies are also very efficient in processing default claims, with the average elapsed time between submission of claim and payment being 37 days. Twenty-one of the 22 State agencies used outside commercial firms (or law firms) for assistance in the collection of defaulted loans. The results of these arrangements was judged to be very good even though States generally follow conservative accounting practices in showing results from collection activities.

A Study of Selected Institutions and Borrowers was completed in September, 1979 by Cresap, McCormick, and Paget, Washington, D. C. The study was a review of institutional policies and procedures at 16 proprietary schools and 12 institutions of higher education acting as direct lenders under the Federally Insured Student Loan Program. As part of the review, over 300 borrowers were interviewed in order to assess their experience with the schools stated policies and procedures.

Both proprietary schools and IHE lenders were found to have stated policies and procedures which were in conformity with OE regulations and program directives. Schools stated, and borrowers confirmed, that prospective students were not pressured to enroll and that the loan was not used as a recruiting tool. The great majority of students apparently understood their individual obligation to repay the loan, a large proportion of in-school borrowers felt only somewhat well-informed about the terms of the loan. While all schools in the study held "exit" interviews to inform graduating borrowers of these terms and of conditions for deferment and forbearance of loan payments, attendance at these interviews is not mandatory.

Many borrowers reported that they would not have been financially able to attend the school or college with access to the guaranteed loan, but about 30 percent said they would have preferred to borrow a larger amount.

Among other major findings were:

-- Proprietary school borrowers do not appear to have been informed of the size of the monthly payments on their loans;

-- Borrowers, particularly at proprietary schools, are not sufficiently aware of the requirement to provide change of address information after they leave school;

-- One-third of the borrowers said that school responses to their questions about loans was not satisfactory or only somewhat satisfactory.

Ongoing and Planned Evaluations:

The following studies are continuing and scheduled for completion in December, 1979 and December, 1980, respectively:

(1) Sources of Loan Funds for Students and Their Parents

This study will identify and catalog all sources of educational loans for students and their parents. It will describe the terms under which such loans are made, annual loan volumes and the socioeconomic characteristics and geographic locations of the borrowers served. The information (published and unpublished) will be gathered from the most appropriate Federal agencies, State agencies, private sector lenders, firms administering loan programs for private sector lenders or organizations representing groups of private lenders. Total annual loan volumes in aggregate, and by type of loan, will be calculated. Geographic and socioeconomic patterns of loan utilization in aggregate and by type of loan will be described and compared. Very little, in particular, is known about loans which originate exclusively in the private sector and no known compendium of educational loan financing facts exists.

(2) Parent Survey Component of High School and Beyond (Base Year Data Collection)

This procurement will collect data from a nationally representative sample of 5,000 parents of high school seniors. It will last from October 1979 through September 1980 and cost $400,000. The high school seniors will have been surveyed a few months previously and it is expected that these same students and their parents will be surveyed again two years later. The parent questionnaire is currently being designed and field tested (with Fiscal Year 1978 funds). The data collected by the parent survey will relate to parental knowledge about postsecondary schooling options (offerings, costs, and the availability of financial aid), parental plans and actions to finance their childrens' education, family demographic, social and financial characteristics. Although this survey represents the base-year of a two-wave longitudinal data collection effort, it will provide data that is immediately useful for evaluating the effectiveness of information dissemination about postsecondary education opportunities, what these opportunities cost, and what financial aid is available to help meet these costs. In addition, it will provide detailed information about how parents plan to finance their childrens' education and the size of the contribution they will be making, which will be analyzed with respect to family composition, social background, and financial position. The procurement will only include descriptive analysis, OED will perform more rigorous analyses in-house. The Bureau of Student Financial Assistance will be the primary user of the analyses' findings along with Departmental and Congressional staff persons.

The following study is planned for initiation in Fiscal Year 1980.

Indebtedness to Finance Postsecondary Education: What is Reasonable and What is Not

The study will develop an economic model for determining the reasonableness of accumulated education-loan indebtedness relative to expected post-schooling earnings profiles, household expenditures and the indebtedness necessary to establish professional practice. Using existing data current indebtedness levels will be estimated and future indebtedness levels simulated. The reasonableness of these indebtedness levels will be evaluated in terms of projected earnings and expenditure profiles. The study will require approximately one-and-one-half man years of professional effort and 43 weeks to complete.

Sources of Evaluation Data:

Touche, Ross and Company, Washington, D. C., Study of Requirements for Forming State Guarantee Agencies, July, 1979.

Cresap, McCormick, and Paget, Washington, D. C., Study of Selected Institutions and Borrowers Participating in FISLP, September, 1979.

Cooperative Institutional Research Project (CIRP), 1978 Report

Program files, Bureau of Student Financial Assistance, U.S. Office of Education

For further information about program operations,

Contact: David Iwamoto, 472-7177

For further information about studies of program effectiveness,

Contact: Daniel Morrissey, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Health Education Assistance Loan Program

Legislation:	Expiration Date:
Title VII-C, Health Professions Educational Assistance Act of 1976, enacted by Public Law 94-484; amended by Public Laws 95-83 and 95-215.	September 30, 1980

Funding History:	Year	Authorization	Appropriation
	1978	$1,500,000	$ - 0 -
	1979	indefinite	2,500,000*
	1980	indefinite	-----

Program Goals and Objectives:

The purpose of the HEAL program is to provide Federally insured loans to graduate students attending eligible schools or former students of such eligible schools of medicine, osteopathic medicine, dentistry, veterinary medicine, optometry, podiatry, pharmacy, or public health. The loans are made by participating lenders, including banks, credit unions, savings and loan associations, and HEAL schools, and the loans are insured against the borrower's default, death, total and permanent disability, and bankruptcy by the Federal goverment.

Program Operations:

To be eligible for a HEAL loan a student must be a U.S. citizen or permanent resident, enrolled or accepted for enrollment in an eligible institution, pursuing a full-time course of study, and in "good standing" as determined by the school's policies. In addition, pharmacy students must have completed 3 years of training. Also, a loan is insured if made to an individual who had an HEAL loan and is in an authorized deferment period may receive an HEAL loan solely for repayment of interest on his HEAL loans. Additionally, borrowers cannot receive HEAL loans during the same academic year they receive Guaranteed Student Loans or Federally Insured Student Loans (Part B, Title IV, Higher Education Act).

Eligible borrowers (with the exception of pharmacy students) can borrow up to $10,000 per academic year to a total of $50,000 outstanding. Pharmacy students were limited to $7,500 per academic year to a total of $37,500 for borrowers who are or were students. The loan amount may not exceed the borrower's tuition costs plus $2,500.

---

* Borrowing authority to remain available without Fiscal Year limitation.

A student is required to begin repayment of the loan to the lender between nine and twelve months after completing his internship or residency training program or after discontinuing a full-time academic program at an eligible institution. Borrowers have between 10-15 years to repay a loan, excluding deferment periods. Repayment of the principal is deferred during the borrower's full-time study at a HEAL program school. A deferment of up to three years will be granted for: participation in an accredited internship or residency program, service in the Armed Forces, service as a volunteer in the Peace Corps or VISTA, membership in the National Health Service Corps or full-time study at an institution eligible to participate in the Guaranteed Student Loan Program. The loan may not be outstanding for more than 23 years from the date of disbursement of the loan exclusive of deferment periods.

The statute provides for two types of charges for a Health Education Assistance Loan. Interest, at a rate prescribed by the Secretary, but not to exceed 12 percent per annum on the unpaid principal balance of the loan, is to be paid by the borrower. There is no Federal interest subsidy on HEAL loans but interest payments may be deferred before the beginning of the repayment period, while a student is in an authorized deferment period or during authorized period of forebearance of payment of principal. These deferments of interest must cease not later than the date on which repayment of the first installment of principal is due, or the date repayment of principal is required to resume. This accrued interest may be added to the principal. Secondly, there is an insurance premium not to exceed two percent per year to be charged in advance to cover the period from disbursement until nine months after the student's anticipated graduation date.

The Secretary may enter into an agreement with the borrower to assume the borrower's repayment obligation for not more than $10,000 in any 12 month period toward the principal and interest due on a loan if the borrower agrees to serve as either a member of the National Health Service Corps or in private practice in a health manpower shortage area.

Participating health professions schools must be legally authorized within a State to train members of the medical professions and accredited by a recognized body approved for such purposes by the Commissioner of Education. A new school which (by reason of no, or an insufficient period of operation) is not, at the time of application for insurance of a loan eligible for accreditation by such a recognized body, shall be deemed accredited if the Commissioner finds that there is a reasonable assurance that the school will meet the accreditation standards of such body prior to the beginning of the academic year following the normal graduation date of the first entering class in such school.

Program Scope:

The Health Education Assistance Loan program has been operational with regulations in effect since September 15, 1978. As of June 30, 1979, 440 loans totaling $3,071,531 have been guaranteed for graduate students attending schools of medicine, osteopathy, dentistry, veterinary medicine, podiatry, public health, pharmacy and optometry. The average loan is $6,981. The breakdown of the loan distribution is as follows:

Discipline	Number of Loans	Percent of Total	Dollar Total	Dollar Percent	Dollar Average Loan
Medicine	148	34%	$ 922,010	30%	$6,230
Osteopathy	8	2%	75,000	2%	9,375
Dentistry	90	20%	688,076	23%	7,645
Veterinary Medicine	34	8%	145,624	5%	4,283
Optometry	1	0	6,500	0	6,500
Podiatry	143	33%	1,174,220	38%	8,211
Pharmacy	10	2%	39,072	1%	3,907
Public Health	6	1%	21,029	1%	3,505
TOTALS	440	100%	$3,071,531	100%	$6,981

Program Effectiveness and Progress:

The HEAL program was intended to provide substantial assistance in the form of loans to students attending high-cost health profession programs. One measure of program effectiveness is, therefore, the percentage of average total cost covered by these loans.

The percent of estimated cost of education provided by HEAL by discipline is as follows:

Discipline	Percent of Estimated Cost of Education
Medicine	57%
Osteopathy	65%
Dentistry	62%
Veterinary Medicine	68%
Optometry	47%
Podiatry	75%
Pharmacy	64%
Public Health	55%

Another measure of program effectiveness is the proportion of eligible health professions schools which have signed participation agreements.

Of the 319 schools eligible to participate in the HEAL program, 263 have negotiated agreements with the Commissioner of Education to participate and 73 have processed at least one HEAL loan application. Geographical participation is also indicative of the Program's progress to date. Borrowers have come from 42 States, the District of Columbia, Guam, and Puerto Rico. The largest number of loans have been made to borrowers from California (91), New York (48), Colorado (30), and Ohio (29). Commercial lenders, however, have not responded strongly to the Program. As of June 30, 1979, only eight lenders have participated. Five of these have made only one loan. One bank has made five loans and another bank, nineteen loans. However, 411 loans, or, 93.4 percent of all loans made since the inception of the program, have been from a single large bank. This bank has stated its policy of functioning as a national lender-of-last resort for HEAL loan applicants.

Ongoing and Planned Evaluation Studies:

The Office of Education has not evaluated the HEAL program. However, depending upon the outcome of the Congressional reauthorization process to be completed in the Spring of 1980, the Office of Education expects to schedule funds permitting an Exploratory Evaluation Study of the HEAL program during Fiscal Year 1981.

Sources of Evaluation Data:

HEAL Program files, Bureau of Student Financial Assistance

For further information about program operations,

Contact: David C. Bayer, 245-9717

For further information about studies of program effectiveness,

Contact: Daniel Morrissey, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Upward Bound Program

Legislation:	Expiration Date:
Higher Education Act of 1965. Title IV-A Subpart 4; Public Law 89-329; as amended by Public Law 90-575; as amended by Public Law 91-230; as amended by Public Law 92-318; as amended by Public Law 94-482.	September 30, 1980

Funding History:

Year	Authorization	Appropriation
1965	1/	1/
1966	1/	1/
1967	1/	1/
1968	1/	1/
1969	1/	1/
1970 2/	$ 56,680,000	$29,600,000
1971	96,000,000	30,000,000
1972	96,000,000	31,000,000 3/
1973	100,000,000	38,331,000
1974	100,000,000	38,331,000
1975	100,000,000	38,331,000
1976	100,000,000	38,331,000
1977	200,000,000	41,500,000
1978	200,000,000	50,034,000
1979	200,000,000	61,000,000
1980	200,000,000	62,500,000 (est.)

1/ There were no specific authorizations or appropriations for Upward Bound during these years. This was an OEO agency allocation made from the total appropriations for Title II-A of the Economic Opportunity Act of 1964.

2/ Represents budget authority for all Special Programs for Disadvantaged Students: Special Services, Upward Bound, Talent Search, Educational Opportunity Centers, Service Learning Centers, and the Training Program.

3/ Excludes $4 million supplemental appropriation for Veterans' projects.

Program Goals and Objectives:

The Upward Bound Program is intended for youths from low-income families who have academic potential, but who may lack adequate secondary school preparation, including those students whose inadequate secondary school preparation is a result of severe rural isolation. Without the intervention of the program, these students would not have considered college or other postsecondary education, nor would they have been likely to have gained admission to or successfully completed college or other postsecondary education. The program is designed to generate skills and motivation necessary for success in education beyond high school. The goal of the program, as stated in the regulations, is to increase the academic performance and motivational levels of eligible enrollees so that such persons may complete secondary school and successfully pursue postsecondary education programs.

The General Accounting Office (1974) study of Upward Bound found a lack of measurable objectives that clearly stated the expected end results of the program for student performance. GAO observed that local project objectives were usually vague and did not express in a measurable way changes expected in students' academic skills and motivation.

In those cases where improvement in program operations can be made on the basis of the studies cited below, they have been included in the revision of program operations.

Program Operations:

Upward Bound is designed for the low-income high school student who, without the program, would not have considered college or other postsecondary school enrollment nor would he have been likely to have gained admission to and successfully completed a two- or four-year college or other postsecondary education. In a typical year an Upward Bound student is a resident on a college, university, or secondary school campus for a six- to eight-week summer session. In the academic year he may attend Saturday classes or tutorial/counseling sessions or participate in cultural enrichment activities. During his junior and senior years he explores options for the postsecondary program best suited to his needs.

Upward Bound looks for the individual with academic potential (a demonstrated aptitude) for postsecondary education, but whose inadequate high school preparation prevents meeting conventional requirements for admission to a college, university, or technical institute. The program is designed to generate skills by means of remedial instruction, altered curriculum, tutoring, cultural exposure, and motivation through encouragement and counseling.

Some program aspects include (1) coordination, where feasible, of Talent Search, Upward Bound, Educational Opportunity Centers, and Special Services for Disadvantaged Students; (2) projects to help students overcome motivational and academic barriers to admission to, and success in, a two-year or four-year college or other postsecondary school.

Upward Bound is a project grant program which works primarily through institutions of higher education and, in exceptional cases, secondary schools to provide educational services to disadvantaged youth. The program is administered through the OE central office. Awards are made competitively. The program is forward-funded and no matching grants are required of grantees.

Program Scope:

In Program Year 1977-78, 345 Upward Bound projects were funded (32 Veterans projects are included in these figures). The grants to projects ranged from $45,000 to $304,000 and averaged $120,140. Approximately 38,887 students were served by the program. Of the 345 projects, 278 were hosted by four-year colleges or universities, 41 by two-year colleges, and 3 by vocational-technical schools, 6 by secondary schools, and 17 by agencies.

For FY 1978, 491 proposals were processed. From these proposals, 380 continuation awards and approximately 35 to 40 new awards were made.

Program Effectiveness and Progress:

The latest available program data show that in 1977-78 nearly seven thousand (6,779) Upward Bound participants completed high school and that about 64 percent of these were planning on entering some form of postsecondary education.

An ongoing evaluation of Upward Bound provided the most comprehensive and scientifically accurate statistics about the program. These statistics were based on a national sample of more than 3,400 Upward Bound students in the tenth, eleventh, and twelfth grades and a comparison group of about 2,000 similar students who did not participate in the program.

The following evaluation findings document the impact of the Upward Bound Program:

- Participation in Upward Bound failed to increase the rate of high school completion, given tenth grade entry, beyond the 95 percent rate for all students.

- Upward Bound has a large positive influence on postsecondary entrance. Overall, typical Upward Bound high school graduates entered some form of postsecondary education at a rate of about 91 percent, whereas the comparison group of high school graduates entered at a rate of about 70 percent.

- Upward Bound influences the types of institutions entered and the types of individual who enter. A greater percentage of typical Upward Bound participants (72 percent) attended four-year institutions or universities than did nonparticipants (49 percent). Upward Bound participants chose more selective schools. Former participants also reported greater attendance at institutions hosting an Upward Bound project (53 percent) than did nonparticipants (35 percent). Attendance at Special Services for Disadvantaged Students host institutions was not significantly greater among former participants.

- Upward Bound has impact on participants' financial aid. Typical Upward Bound participants more frequently received Basic Educational Opportunity Grants (79 percent vs. 59 percent), Supplemental Educational Opportunity Grants (20 percent vs. 8 percent), National Direct Student Loans (27 percent vs. 10 percent) and College Work-Study while taking courses (29 percent vs. 16 percent). Overall, typical Upward Bound participants received an average of $1,428 in grants and $393 in loans as compared with $689 in grants and $300 in loans for nonparticipants.

- Upward Bound has an impact on participants' usage of supportive services. Typical participants used available tutoring and counseling services more frequently than nonparticipants. Remedial services were not used differentially.

- Upward Bound influences participants' persistence and progress, but no effects on performance were identified. Using complex multivariate analysis techniques, Upward Bound was associated with an increase in the number of terms of persistence and the number of credits earned, but these increases were mainly attributable to Upward Bound's positive influence on the types of institutions entered and financial aid.

Ongoing and Planned Evaluation Studies:

Evaluation of Upward Bound: A Second Follow-Up

A second follow-up evaluation of the Upward Bound program, employing the sample of students studied in the recent evaluation of Upward Bound, by the Research Triangle Institute, began in FY 1978. Interim results from this study were reported above. The final report is scheduled for completion by winter, 1979.

Sources of Evaluation Data:

General Accounting Office, Problems of the Upward Bound Program in Preparing Disadvantaged Students for a Postsecondary Education, March 7, 1974, Washington, D. C.

Upward Bound Program files.

Estimates of the Target Populations for Upward Bound and the Talent Search Programs, Volume II of A Study of the National Upward Bound and Talent Search Programs, Research Triangle Institute, Research Triangle Park, North Carolina, 1975.

Evaluation Study of the Upward Bound Program, Volume IV of A Study of the National Upward Bound and Talent Search Programs, Research Triangle Institute, Research Triangle Park, North Carolina, 1976.

Evaluation Study of the Upward Bound Program: A First Follow-Up, Research Triangle Institute, Research Triangle Park, North Carolina, 1977.

Evaluation Study of the Upward Bound Program: A Second Follow-Up (Interim Results), Research Triangle Institute, Research Triangle Park, North Carolina, 1979 (final report scheduled for winter, 1979).

For further information about program operations,

Contact: David Johnson, 245-6664

For further information about studies of program effectiveness,

Contact: Dennis Carroll, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Talent Search Program

Legislation:	Expiration Date:
Higher Education Act of 1965. Title IV-A, Subpart 4; Public Law 89-329; as amended by Public Law 90-575; Public Law 91-230; Public Law 92-318; Public Law 94-482.	September 30, 1980

Funding History:

Year	Authorization	Appropriation
1966	1/	$2,000,000
1967	1/	2,500,000
1968	1/	4,000,000
1969	$ 10,000,000	4,000,000
1970 2/	56,680,000	5,000,000
1971	96,000,000	5,000,000
1972	96,000,000	5,000,000
1973	100,000,000	6,000,000
1974	100,000,000	6,000,000
1975	100,000,000	6,000,000
1976	100,000,000	6,000,000
1977	200,000,000	8,900,000
1978	200,000,000	12,454,000
1979	200,000,000	15,300,000
1980	200,000,000	15,300,000 (est.)

Program Goals and Objectives:

Talent Search programs are designed to identify qualified youths, including qualified youths residing in areas of severe rural isolation, of financial or cultural need with an exceptional potential for postsecondary educational training and especially such youths who have delayed pursuing postsecondary educational training, and to encourage them to complete secondary school and undertake postsecondary educational training. The program also publicizes student financial aid programs and encourages secondary-school or college dropouts of demonstrated aptitude to reenter educational programs. The goal of this program is to (1) increase the rate

---

1/ Such sums as may be necessary.

2/ Represents budget authority for all Special Programs for Disadvantaged Students: Special Services, Upward Bound, Talent Search, Educational Opportunity Centers, Service Learning Centers, and the Training Program.

at which youths of financial or cultural need complete secondary school and enroll, with adequate financial aid, in postsecondary educational programs, (2) decrease the rate of secondary and postsecondary school dropouts, (3) increase the number of secondary and postsecondary school dropouts who reenter educational programs, and (4) increase the postsecondary enrollment rate of youths who have delayed pursuing postsecondary educational training.

The authorizing legislation for the Talent Search Program allows youths from other than low-income families, not to exceed one-third of the total served, to benefit from the projects.

Program Operations:

Talent Search is a project grant program which works through institutions of higher education, public and private agencies and organizations to provide services to disadvantaged youth in secondary schools or who are dropouts. The program is managed through the OE central office. Awards are made competitively. The program is forward-funded and no matching grants are required of grantees.

The local projects operate a recruiting effort to identify youths who need the program's services and counsel them about opportunities for furthering their education.

A recent study of the program showed that all project directors expressed a fundamental philosophic concern with educational opportunites for the minorities and the educationally disadvantaged. Their stated project objectives were two-fold. First, they focused on improving the client group's educational and vocational status and self-perception, and second, on increasing school- and community-awareness of the client group's needs. Given this common base, all projects provided services intended to encourage clients to aspire to postsecondary education.

The number and kinds of services provided clients varied considerably across projects classified by size, ethnicity and location of majority of clients, type of host institution, age, and USOE region location. However, all projects generally encouraged the completion of high school and the attainment of a postsecondary education; provided information on educational opportunities and financial assistance; and assisted in the mechanics of applying for admission and financial aid. To a more limited extent, projects provided follow-up activities and assistance to insure that clients actually: enrolled in postsecondary institutions; reached the campus and began their studies; and became adjusted and oriented to the campus.

In receiving these services, about one-sixth of the clients had had only one contact with Talent Search, about one-half had had two to five contacts, and about one-third had had six or more contacts.

Program Scope:

During academic year 1977-78, 116 projects were funded. The grants ranged from $35,500 to $156,000 and averaged $76,761 with a cost per client of $60. The projects reported serving 146,565 clients with about 47 percent blacks, 26 percent white, and 27 percent of other ethnicity, such as Native Americans or Mexican-Americans. Approximately 59 percent of these clients were female. About 72 percent were from families with low incomes and approximately 27 percent were eligible due to cultural need. Of the 116 projects, 14 were hosted by two-year/junior colleges, 42 by four-year colleges, 2 by vocational/technical schools, and 58 agencies.

For FY 1978, 221 proposals have been processed. From these proposals, 131 continuation awards and approximately 24 new awards will be made.

Program Effectiveness and Progress:

In the 1977-78 academic year, 46,732 clients were placed in postsecondary education with an additional 37,545 accepted, but not yet enrolled. Approximately 5,682 actual or potential dropouts were persuaded to return to school or college.

The recent evaluation of the Talent Search Program shows that, given the fuzzy definition of the target population and the lack of measurable objectives, virtually any person requesting assistance was served--most of whom were determined to be eligible by virtue of low income and related criteria.

The study assessed project files to determine their adequacy. The content and organization of the client record files varied considerably across projects. Files in certain projects were comprehensive and complete and data were collected and filed in an organized manner, whereas the files in other projects contained little information, often collected and filed in a haphazard fashion. Most files generally contained such basic descriptive data as the client's age, sex, ethnicity, and grade level. However, data critical to determining a client's eligibility for the program, his application for and attainment of financial aid or postsecondary admission, his strengths and weaknesses, and his achievement of other Talent Search objectives were often incomplete or missing.

The limited degree to which these kinds of information were recorded in the client files, and survey findings of the postsecondary status of former clients, raises a general question as to the effectiveness of Talent Search counseling services and follow-up activities. Approximately three-fourths of the students reported by the projects to have enrolled in postsecondary institutions between July 1 and December 31, 1973, had actually enrolled. And about three-fourths of these verified enrollees were still enrolled in the spring of 1974. (Most of those who were not enrolled in the spring had dropped out of their own choice.)

The study of the Talent Search program was descriptive, including a survey of college registrars to validate the postsecondary enrollment of former Talent Search clients. Since it was a descriptive study, without a nonparticipating group of youths similar to those served by the program but who did not have access to the program's services, an assessment of the program's impact on high school retention and college entrance cannot be done. Consequently, it cannot be asserted, based on the study, that the program does or does not place students in college who would not have enrolled without the program's services.

In those cases where improvement in program operations can be made on the basis of the study, they have been included in revised program regulations.

Ongoing and Planned Evaluation Studies:

A study of the Talent Search program by the Research Triangle Institute, Research Triangle Park, North Carolina, has been completed. The final report is available.

Sources of Evaluation Data:

Descriptive Study of the Talent Search Program, Volume III of A Study of the National Upward Bound and Talent Search Programs, Research Triangle Institute, Research Triangle Park, North Carolina, December 1975.

Estimates of the Target Populations for Upward Bound and the Talent Search Programs, Volume II of A Study of the National Upward Bound and Talent Search Programs, Research Triangle Institute, Research Triangle Park, North Carolina, May 1975.

Program Data.

For further information about program operations,

Contact: David Johnson, 245-6664

For further information about studies of program effectiveness,

Contact: Dennis Carroll, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Educational Opportunity Centers

Legislation:	Expiration Date:
Higher Education Act of 1965. Title IV-A, Subpart 4; as amended by Public Law 92-318; as amended by the Educational Amendments of 1976.	September 30, 1980

Funding History:	Year	Authorization 1/	Appropriation
	1974	$100,000,000	$3,000,000
	1975	100,000,000	3,000,000
	1976	100,000,000	3,000,000
	1977	200,000,000	4,000,000
	1978	200,000,000	5,246,000
	1979	200,000,000	6,300,000
	1980	200,000,000	7,700,000 (est.)

Program Goals and Objectives:

This program is intended to serve areas with major concentration of low-income populations by providing, in coordination with other applicable programs and services:

information with respect to financial and academic assistance available for persons residing in such areas desiring to pursue a program of postsecondary education;

assistance to such persons in applying for admission to institutions, at which a program of postsecondary education is offered, including preparing necessary applications for use by admission and financial aid officers; and

counseling services and tutorial and other necessary assistance to such persons while attending such institutions.

The centers also are to serve as recruiting and counseling pools to coordinate resources and staff efforts of institutions of higher education and of other institutions offering programs of postsecondary education, in admitting educationally disadvantaged persons.

1/ Represents budget authority for all Special Programs for Disadvantaged Students: Special Services, Upward Bound, Talent Search, Educational Opportunity Centers, Service Learning Centers, and the Training Program.

While the legislated goals of the Talent Search, Upward Bound and Special Services programs are aimed at individuals in need of project services, the Educational Opportunity Centers are designed to serve residents of major areas with a high concentration of low-income populations. Consequently, any resident of a funded area is eligible to receive project services. This broad mandate, without the restrictions of age, income, and disadvantaged cultural or educational backgrounds characteristic of the other Special Programs, offers more latitude to the project to deal with the educational needs of a geographic area without restrictions.

Program Operations:

The Office of Education's central office awards Educational Opportunity Center Program grants on a cost-sharing basis paying up to 75 percent of the cost of establishing and operating a center, to approved postsecondary institutions, or public and private agencies and organizations. Awards, which are forward-funded, are made competitively.

The Centers operate a recruiting effort to identify persons who need the program's services and to counsel them about opportunities for furthering their education. The Centers also provide remedial and tutorial services to students enrolled or accepted for enrollment in postsecondary schools.

Program Scope:

In FY 1977, 18 funded projects provided various forms of counseling and assistance to 58,666 participants. The grants ranged from $63,100 to $360,000 and averaged $222,222. The average cost-per-participant was $68.

I. Total participants by ethnicity.

American Indian	2,205	4%
Black	22,922	39%
Hispanic	11,790	20%
White	17,916	31%
Other/Not Reported	3,833	6%
TOTAL	58,666	100%

II. Total participants by sex.

Male	23,861	41%
Female	33,288	57%
Not Reported	1,517	2%
TOTAL	58,666	100%

Program Effectiveness and Progress:

An evaluation has not been conducted. Program data for FY 1977 show that 15,835 participants were placed in postsecondary schools or other types of training programs, and 3,379 participants had been accepted by a postsecondary institution but had not yet begun their studies.

Ongoing and Planned Evaluations:

None

Sources of Evaluation Data:

Reports by the center to the program manager.

For further information about program operations,

Contact: David Johnson, 245-6664

For further information about studies of program effectiveness,

Contact: Dennis Carroll, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Special Services for Disadvantaged Students in Institutions of Higher Education

Legislation:

Higher Education Act of 1965. Title IV-A, Subpart 4; Public Law 89-329; as amended by Public Law 90-575; as amended by Public Law 91-230; as amended by Public Law 92-318; as amended by Public Law 93-380; as amended by Public Law 94-482.

Expiration Date:

September 30, 1980

Funding History:

Year	Authorization 1/	Appropriation
1970	$ 56,680,000	$10,000,000
1971	96,000,000	15,000,000
1972	96,000,000	15,000,000
1973	100,000,000	23,000,000
1974	100,000,000	23,000,000
1975	100,000,000	23,000,000
1976	100,000,000	23,000,000
1977	200,000,000	30,637,000
1978	200,000,000	45,265,000
1979	200,000,000	55,000,000
1980	200,000,000	60,000,000 (est.)

Program Goals and Objectives:

The Special Services program is designed to provide remedial and other special services for youths from low-income families with academic potential, but who may be disadvantaged because of severe rural isolation who (1) are enrolled or accepted for enrollment at an institution of higher education which is a beneficiary of a grant or contract and (2) by reason of deprived educational, cultural, or economic background, or physical handicap, or limited English-speaking ability, are in need of such services to assist them to initiate, continue, or resume their postsecondary education. The goal of this program is to increase the retention and graduation rates of such students.

1/ Represents budget authority for all Special Programs for Disadvantaged Students: Special Services, Upward Bound, Talent Search, Educational Opportunity Centers, Service Learning Centers, and the Training Program.

Program Operations:

Special Services is a project grant program making awards to institutions of higher education to provide remedial or bilingual educational teaching, guidance, and/or counseling services for students with an educationally, culturally, or economically deprived background, or physical handicap or limited English-speaking ability. The program is forward-funded and no matching funds are required by the grantee institutions. The program is administered through the OE central office. Awards are made competitively.

At the institution level, a Special Services program is defined as a separately budgeted formal or structured body of activity by the institutions for enrolled students, which is not routinely available to or appropriate for the typical entering student, but is directed toward the more disadvantaged students. Recipients of grants from this program who serve students of limited English-speaking ability must include in their curriculum a program of English language instruction for such students.

Program Scope:

In FY 1977, 372 projects were funded. The grants ranged from $25,600 to $264,000 and averaged $82,400. The average cost per student was $249. Of the 372 projects, 104 were hosted by two-year/junior colleges, 251 by four-year colleges, 13 by vocational/technical schools, and four by agencies or associations.

The projects reported serving 123,092 students. Approximately 42 precent of the clients were black, about 32 percent were white, and about 17 percent were Hispanic. Approximately 56 percent of the clients were female. Approximately 9 percent of the clients were culturally disadvantaged, 29 percent were educationally disadvantaged, 6 percent were physically disabled, and 6 percent were of limited English-speaking ability, and the remaining 50 percent of the clients were eligible based on the low-income criteria.

Program Effectiveness and Progress:

Program records show that in FY 1977 (program year 1977-78), 123,092 students participated in the Special Services program. Of this number, 14,031 students showed adequate academic and personal adjustment and moved out of the program into the regular academic channels of the host institutions; 6,793 graduated from the host institutions, and 3,077 left the host institutions to transfer to other colleges, and presumably were making satisfactory progress, or transfer probably would not have been possible.

A study of postsecondary programs for disadvantaged students (both Federally or non-Federally supported) revealed that being disadvantaged is much more than a financially determined phenomenon. There are greater differences among students of different ethnic classification within the low-income group than there are between poverty-level and model (typical) students within the same ethnic classification. Differences between physically handicapped students and modal students are relatively minor--except for the physical disability. Between the poverty-level and modal students, the study did not find substantial differences by major field of study, content of freshman courses taken, or relative difficulty with such courses. Most students in the study were in their first or second year, and differences in these areas may show up later in their college careers.

As expected, the poverty-level students reported a higher degree of participation in the services offered by these programs than did the modal students. This differential participation was particularly large in professional counseling and assistance on financial problems but was also greater for: tutoring by students and professors, professional counseling on career choices, remedial courses and courses on reading skill development, programs to improve writing and number skills, reduced course load, professional counseling for personal and academic problems, and several other areas.

Although substantial positive changes occurred among recipients of these services in attitudes, values, and motivation, there was little indication of impact of the services on academic achievement. Disadvantaged students did not reduce the gap in college grade point average between themselves and the regularly admitted (modal) students, differences between high school and college grades for the two groups remaining approximately the same. The college environment, while not tending to magnify previous differences in academic achievement, does not appear to be compensating for such differences. Overall, the academic success of disadvantaged students at institutions with Special Services Programs was no greater, and no less, than at colleges without such programs. This outcome was not affected by any differential emphasis upon specific programmatic elements, such as tutoring or counseling. There was no evidence that the colleges these students were in, or any support services available to them, were helping the students to exceed the level of performance that would be expected of them in college given their level of performance in high school.

A comprehensive review of research on the effectiveness of secondary and higher education intervention programs for disadvantaged students found that such programs at the postsecondary level have had some positive impact upon program participants. These programs appear to have been somewhat effective in increasing retention of disadvantaged youth in college. In some instances, academic achievement appears to have been improved, but still remained below institutional averages for regularly admitted students.

Ongoing and Planned Evaluation Studies:

Evaluation of the Special Services for Disadvantaged Students Program

The major purpose of this study is to evaluate the impact of participation in Special Services for Disadvantaged Students project activities on student's educational performance and progress. Issues of impact upon the hosting institution and project staff will also be addressed.

The study began in fall 1978 and will be completed by winter 1981.

Sources of Evaluation Data:

Program files.

U.S. Bureau of the Census, Current Population Reports, Series P-20, No. 222, "School Enrollment: October 1970," derived from Tables 14 and 15, and unpublished data obtained from the Bureau of the Census.

Programmatic Attention to "Disadvantaged" Students by Institutions of Higher Education in the United States: A Census for 1971-72, Educational Testing Service, Princeton, New Jersey, April 1973 (final report from phase one of the evaluation of the program for Special Services for Disadvantaged Students in Higher Education).

The Impact of Special Services Programs in Higher Education for "Disadvantaged" Students, Educational Testing Service, Princeton, New Jersey, June 1975 (final report of phase two of the evaluation of the program for Special Services for Disadvantaged Students in Higher Education).

Vincent Tinto and Roger H. Sherman, The Effectiveness of Secondary and Higher Education Intervention Programs: A Critical Review of the Research, Teachers College, Columbia University, September 1974 (final report submitted to the Office of Planning, Budgeting, and Evaluation of the U.S. Office of Education).

For further information about program operations,

Contact: David Johnson, 245-6664

For further information about studies of program effectiveness,

Contact: Dennis Carroll, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Veterans' Cost-of-Instruction Program

Legislation:

Section 420 of the Higher Education Act of 1965; as amended by Public Law 92-318; as amended by Public Law 93-380; Public Law 94-482, and Public Law 95-336.

Expiration Date:

September 30, 1980

Funding History:

Year	Authorization	Appropriation
1973	Indefinite	$25,000,000
1974	"	23,750,000
1975	"	31,250,000 [1]
1976	"	23,721,000
1977	"	23,750,000
1978	"	23,750,000
1979	"	19,000,000
1980	"	14,380,000 (est.)

Program Goals and Objectives:

The Veterans' Cost-of-Instruction Program is intended to provide improved and expanded services to veterans attending institutions of higher education. These services include recruitment, counseling, special education programs, and outreach activities. Implicit within the design of the program is the objective of encouraging institutions of higher education to expand and maintain enrollments of veterans.

Program Operations:

Institutions of postsecondary education, other than schools of divinity and proprietary institutions, may receive assistance under this program if the applicant satisfies eligibility criteria related to the enrollment of undergraduate veterans. To enter the program, institutions must have a minimum of 25 enrolled veterans. An institution entering the program must also show that its veteran enrollment represents 110 percent of the previous year's veteran enrollment or that its veteran enrollment constitutes ten percent of the total number of undergraduates at the institutions. To remain eligible to participate in the program, an institution must maintain its veteran enrollment at 100 percent of the previous year's enrollment. On May 31, 1976, post-Korea veterans lost their eligibility for educational benefits under the G.I. Bill. The

---

[1] Includes a supplemental appropriation of $7.5 million.

Education Amendments of 1976 allowed these institutions to subtract the number of veterans affected by this termination of eligibility from their previous requirement enrollment figure, thus allowing more institutions to maintain eligibility in the program. An amendment attached to the Alcohol and Drug Abuse Education Amendments of 1978 provided for two additional methods whereby participating institutions can retain eligibility to continue in the program. The first method uses a ratio criterion which allows an institution to be eligible if the decline in its veteran enrollment, from its first year in the program to the present, is no more than the national average of decline over the same period. If an institution fails to become eligible under this first method, it may be declared eligible upon the Commissioner's determination that the institution is making reasonable efforts to recruit, enroll, and provide necessary services to veterans. This determination is based on evidence presented by the institution and takes into consideration the extent to which the institution falls short of the ratio criterion used in the first method.

Applicants which satisfy one of these eligibility criteria receive cost-of-instruction payments pursuant to two major stipulations. The first is that a minimum of 75 percent of the funds awarded to an institution must be used to establish a full-time Office of Veterans' Affairs, to employ at least one full-time staff member whose sole institutional responsibility is to veterans, and to provide adequate services. These services include (1) programs to prepare educationally disadvantaged veterans for postsecondary education, (2) active outreach, recruiting, and counseling activities through the use of other funds, such as those available under Federally assisted work-study programs, and (3) an active tutorial assistance program, including dissemination of information regarding such program. The second stipulation is that any program funds not used for the above activities must be used solely to defray general academic/instructional expenses--such as instructional salaries, instructional equipment, media equipment, and library materials--and, thus, may be non-veteran related. Instructional expenses cannot exceed 25% of an institution's award. Several exceptions to these stipulations are accorded to small institutions (i.e., those enrolling fewer than 2,500 students and enrolling no more than 70 veterans). Small institutions are required to provide only recruitment and counseling services and to establish a full-time Offices of Veterans' Affairs, which may be staffed by part-time employees who together assume the responsibility of at least one full-time employee. In addition, small institutions also have the option of entering into a consortium agreement with other, comparable institutions, provided that they are in close proximity and that the required services will be available to the veterans on the concerned campuses.

Program funds are disbursed to institutions in three payments. April 16, October 16, and February 16 of each year are referred to as "count dates." At those times, participating institutions are required to count the number of Categories I and II veterans enrolled at the institution. The latter two counts determine the level at which the institution may expend funds during the second (November-February) and third (March-June) award periods.

Determining the amount of the three payments to which a qualified institution is entitled requires the calculation of payment factors, i.e., that amount the institution is to receive for each eligible veteran. This is done by multiplying the total of all qualified applicant institutions' full-time equivalent Category I veterans by $300 and multiplying the total of all qualified applicant institutions' full-time equivalent Category II veterans by $150. The two figures are then added; the resultant figure is the total entitlement demand or that figure needed for every institution to receive the full payment for each Category I and II veteran. Eligible veterans attending on less than a one-half time basis are not included in the full-time equivalent counts. Finally a percentage figure, which is determined by comparing program appropriation with entitlement demand, is applied to $300 and $150 to obtain the payment factor for Category I and II veterans respectively. For FY 1973 to FY 1976, this procedure has been done once a year, based on the April 16 count date, and the payments factors derived at that time were used to determine the amount of the annual award and to adjust the award after the October and February count dates. Using a new award adjustment procedure, new payment factors will be calculated after the February count date for each of the three award periods.

An additional limitation on cost-of-instruction payments permits no institution to receive more than $135,000 in any one year. Since the program has not been fully funded, this legislative amendment was added during Fiscal Year 1975 to protect small institutions. To the extent that this limitation makes available funds which would otherwise by apportioned as enormous awards to large institutions, the monies are allotted in such a manner as to ensure that eligible institutions will receive uniform minimum awards of up to $9,000. Should funds still remain available after application of this procedure, they are further distributed to ensure receipt of uniform minimum awards above $9,000--subject to the provision that no institutional awards above $9,000 exceed a cost-of-instruction payment as calculated by the veteran computation procedures described above.

Program Scope:

Total demand for program funds, as calculated by the veteran enrollment computation procedures, amounted to $151.4 million in FY 1978. Award levels on a per veteran basis were determined through a pro rata reduction based on a full-time equivalency count of veteran enrollment within each of the two award level categories.

The distribution of awards to the 1,096 participating institutions is presented in Table 1.

Table 1

Distribution of Veterans' Cost-of-Instruction
Payments Awards for FY 1978

Award	Number	Percent
$3,037 (minimum)	74	6.8%
$3,038-$9,000	266	24.3%
$9,000-$25,000	451	41.1%
$25,000-$50,000	193	17.6%
$50,000-$75,000	72	6.7%
$75,000-$100,000	27	2.4%
$100,000 or More	13	1.2%

Program Effectiveness and Progress:

No impact evaluations of the Veterans' Cost-of-Instruction Program have been conducted. A descriptive analysis of program data for Academic Year 1975-76 was recently completed. Based upon requests of this study, the distribution of services and average staffing patterns are presented in Tables 2 and 3.

As can be seen from Table 2, various forms of counseling (except for financial counseling) are available at reasonably high rates. However, the availability of services such as job placement and remedial courses appear to be directly related to the level of VCIP Project funding. The staffing patterns (as presented in Table 3) reveal increments in staff sizes located at $50,000 and $100,000 funding levels. A large proportion of the increases associated with projects funded at more than $50,000 were attributable to additional secretarial and clerk positions.

Ongoing and Planned Evaluation Studies:

A descriptive study of program operations, nature and scope of clients served, and program data collected, etc., was completed. The final report is available.

Sources of Evaluation Data:

Program files.

Evaluation of the Veterans' Cost-of-Instruction Program, Research Triangle Institute, Research Triangle Park, North Carolina, 1978.

Table 2

Activities Reported by VCIP Projects in AY 75-76

	Size of Award							
Activity	$1 - $5,500	$5,500- $9,000	$9,000- $25,000	$25,000- $50,000	$50,000- $75,000	$75,000- $100,000	$100,000- $135,000	Total
Personnel Counseling	64%	74%	69%	81%	83%	82%	92%	73%
Family Counseling	44%	52%	52%	73%	63%	82%	46%	56%
Career Counseling	55%	80%	68%	82%	88%	88%	77%	72%
Educational Counseling	69%	76%	74%	86%	92%	88%	92%	78%
Financial Counseling	28%	17%	27%	34%	46%	29%	15%	28%
Job Placement	14%	20%	29%	28%	38%	41%	23%	26%
Remedial Mathematics	17%	22%	36%	37%	29%	53%	62%	32%
Remedial English	18%	22%	36%	38%	33%	47%	62%	33%
Remedial Reading	18%	26%	36%	35%	29%	24%	54%	31%
Tutoring Service	74%	78%	76%	74%	75%	76%	90%	78%
Study Center	11%	20%	27%	45%	25%	29%	23%	26%

Table 3

Average FTE Staffing Patterns Reported by VCIP Projects for AY 75-76

	Size of Award						
Staff Position	$1 - $5,500	$5,500- $9,000	$9,000- $25,000	$25,000- $50,000	$50,000- $75,000	$75,000- $100,000	$100,000- $135,000
Full-Time OVA Person	.6	.7	.7	.7	.8	.8	.7
Coordinator	.3	.3	.3	.3	.5	.6	.6
Counselor	.2	.1	.3	.6	1.8	1.1	2.0
Outreach Worker	.1	.2	.3	.4	.9	.6	1.2
Recruiter	.1	.1	.2	.1	.2	.4	1.7
Secretary	.2	.2	.5	.9	.9	1.3	2.5
Clerk	.1	.1	.2	.5	1.5	1.7	3.2
TOTAL	1.6	1.6	2.7	3.7	6.8	6.7	11.9

For further information about program operations,

Contact: Stanley Patterson, 245-2806

For further information about studies of program effectiveness,

Contact: Dennis Carroll, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Educational Information Centers

Legislation:	Expiration Date:
Title IV, Subpart 5 of the Higher Education Act of 1965 as amended by Public Law 94-482.	September 30, 1980

Funding History:	Year	Authorization	Appropriation
	1977	$20,000,000	$ 0
	1978	30,000,000	2,000,000
	1979	40,000,000	3,000,000
	1980	40,000,000	3,000,000 (est.)

Program Goals and Objectives:

The purpose of the Educational Information Centers program is to provide services to all individuals in a State through Centers located within a reasonable distance of all residents. Their services include:

> information and talent search services designed to seek out and encourage participation in full-time and part-time postsecondary education or training of persons who could benefit from such education or training if it were not for cultural or financial barriers, physical handicap, deficiencies in secondary education, or lack of information about available programs of financial assistance;
>
> information and referral services to persons within the areas served by the Center, including such services with regard to:
>
> -- postsecondary education and training programs in the region and procedures and requirements for applying and gaining acceptance to such programs;
>
> -- available Federal, State, and other financial assistance, including information on procedures to be followed in applying for such assistance;

- -- available assistance for job placement or gaining admission to postsecondary education institutions including, but not limited to, such institutions offering professional, occupational, technical, vocational, work-study, cooperative education, or other education programs designed to prepare persons for careers, or for retraining, continuing education, or upgrading of skills;
- -- competency-based learning opportunities, including opportunities for testing of existing competencies for the purpose of certification, awarding of credit, or advance placement in postsecondary education programs;
- -- guidance and counseling services designed to assist persons from the area served by the Center to identify postsecondary education or training opportunities, including part-time opportunities for individuals who are employed, appropriate to their needs and in relationship to each individual's career plans; and
- -- remedial or tutorial services designed to prepare persons for postsecondary education opportunities or training programs, including such services provided to persons enrolled in postsecondary education institutions within the area served by the Center.

Program Operations:

Each fiscal year, each State which has submitted an approved plan receives funds in an amount which bears the same ratio to the appropriation as the population of the State bears to the total population subject to the availability of funds. No State receives less than $50,000. Each State receiving funds makes grants to and contracts with institutions of higher education, combinations of such institutions, public and private agencies, and local educational agencies for the purpose of planning, establishing, and operating Educational Information Centers. The Federal share of the cost of planning, establishing, and operating Educational Information Centers for any fiscal year is 66 2/3 percent, and the non-Federal share may be in cash or in kind.

Plans and annual amendments to the plans are submitted by the States to USOE. Each State is responsible for fiscal control and fund accounting procedures as may be necessary for each Center.

Program Scope:

In FY 1978, 43 States received allocations of $45,454 each. In addition, West Virginia received $38,306, which was the total amount it was eligible to receive based on its proposed one-third match.

Program Effectiveness and Progress:

No information is currently available concerning the effectiveness or progress of the Educational Information Centers program.

Ongoing and Planned Evaluation Studies:

None.

Sources of Evaluation Data:

Program Files, Bureau of Higher and Continuing Education.

For further information about program operations,

Contact: Charles Griffith, 245-2671

For further information about program effectiveness,

Contact: Dennis Carroll, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Training Program for Special Programs Staff and Leadership Personnel

Legislation:	Expiration Date:
Higher Education Act of 1965 as amended by Section 124(c) of Public Law 94-482.	September 30, 1980

Funding History:	Year	Authorization 1/	Appropriation
	1978	$200,000,000	$2,000,000
	1979	200,000,000	2,400,000
	1980	200,000,000	2,000,000 (est.)

Program Goals and Objectives:

The Training Program for Special Programs Staff and Leadership Personnel is designed to provide training for staff and leadership personnel who will specialize in improving the delivery of services to students assisted by the Special Services, Upward Bound, Talent Search, and Educational Opportunity Centers programs. The authorizing legislation encourages a focus for the Training Program to include the development of individualized programs for disadvantaged students.

Program Operations:

The Training Program awards contracts to support the operation of short-term training institutes and in-service training programs to improve the skills of staff and leadership personnel. Proposals are requested from institutions of higher education and other public agencies and non-profit private organizations.

The program is forward-funded and contracts are awarded to the winners of a competitive bidding in response to a Request for Proposals. The program is administered by the Program Development Branch/Division of Student Services and Veterans Programs/Bureau of Higher and Continuing Education.

1/ Represents budget authority for all the Special Programs for Disadvantaged Students: Special Services, Upward Bound, Talent Search, Educational Opportunity Centers, Service Learning Centers, and the Training Program.

Program Scope:

In FY 1978, a contract to conduct the training for Special Programs staff and leadership personnel was awarded to Atlanta University, Atlanta, Georgia in the amount of $2,000,000. Under the terms of the contract, Atlanta University will:

> provide, per project, one week of residential training at each designated training site in a given state for core staff members as, a group, from the selected Special Programs projects (Talent Search, Upward Bound, Special Services for Disadvantaged Students and Educational Opportunity Centers);
>
> provide training to the above, in four categories: leadership, project management, project design, and staff development; and,
>
> provide a minimum of one week on-site follow-up monitoring, at the institution/agencies, of the implementation of the training of each Special Programs project core staff member received while at the residential training site.

It is expected that a total of 500 Special Programs projects will be involved in this training, and from these projects a total of approximately 1,600 staff persons are to be trained.

The designated sites for training workshops are:

1. Atlanta, Georgia
2. Washington, D. C.
3. Portland, Oregon
4. Denver, Colorado
5. Cincinnati, Ohio
6. Minneapolis, Minnesota
7. Hartford, Connecticut
8. Los Angeles, California

Program Effectiveness and Progress:

No information is currently available concerning the effectiveness or progress of the training program.

Ongoing and Planned Evaluation Studies:

None.

Sources of Evaluation Data:

None.

For further information about program operations,

Contact: David Johnson, 245-6664

For further information about program effectiveness,

Contact: Dennis Carroll, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Strengthening Developing Institutions Program (SDIP)

Legislation:	Expiration Date:
Higher Education Act of 1965, Title III; Public Law 89-329, as amended; extended by Public Law 96-49.	September 30, 1980

Funding History:

Year	Authorization	Appropriation
1966	$ 55,000,000	$ 5,000,000
1967	30,000,000	30,000,000
1968	55,000,000	30,000,000
1969	35,000,000	30,000,000
1970	70,000,000	30,000,000
1971	91,000,000	33,850,000
1972	91,000,000	51,850,000
1973	120,000,000	87,350,000
1974	120,000,000	99,992,000
1975	120,000,000	110,000,000
1976	120,000,000	110,000,000
1977	120,000,000	110,000,000
1978	120,000,000	120,000,000
1979	120,000,000	120,000,000
1980	120,000,000	110,000,000

Program Goals and Objectives:

The program objective is to provide assistance to developing institutions of higher education which demonstrate a desire and a potential to make a substantial contribution to the higher education resources of the Nation but which, for financial and other reasons, are struggling for survival and are isolated from the main currents of academic life. The original legislative hearings identified approximately 110 historically black colleges as a specific set of institutions which, for more than financial reasons were struggling for survival and, therefore, appropriate candidates for program support. Specific program objectives include efforts to improve the quality of curriculum, faculty, student services, administration, and other general areas of institutional operations. Since its inception, the program has included both two- and four-year institutions enrolling substantial numbers of students from low-income families as well as representatives of minority populations. Almost a thousand colleges and universities would be eligible to participate in the Title III program based on average BEOG awards and E&G expenditures.

The program goal is to provide such supplementary financial assistance as may be necessary to allow developing institutions to move into "the mainstream of American higher education" so that they might, on the basis of offering an education of good quality, reasonably compete for students and external financial resources.

Program Operations:

Developing institutions are defined as institutions of higher education which: (1) provide an educational program which awards an A.A. or a B.A. degree, (2) are accredited by a nationally recognized accrediting agency or association, or making reasonable progress toward such accreditation, (3) have satisfied both of the above requirements during the five academic years preceding the academic year during which program assistance would be provided--with the exception that the five-year stipulation may be waived for institutions which serve to increase the higher education available to Indians. In addition, three of the five years may be waived for institutions serving substantial numbers of Spanish-speaking persons, (4) for a junior college, admit as regular students only persons having a certificate of graduation from a high school providing secondary education or the recognized equivalent of such a certificate, (5) are public or non-profit, and (6) meet such other requirements as may be prescribed by regulations. The law requires that such prescriptions include an indication that the institutions participating in the program are: (a) making a reasonable effort to improve the quality of their teaching and administrative staffs and student services programs and (b) for financial or other reasons are struggling for survival and isolated from the main currents of academic life.

From 1975 through FY 1978, an institution's eligibility as a developing institution was evaluated on the basis of eight quantitative factors and three qualitative factors. Quantitative factors included full-time equivalent enrollment, percent of faculty with Masters degrees, average faculty salary, percent of students from low-income families, and several measures of institutional financial strength, among others. Qualitative factors included the retention rate of students and their rate of entrance into graduate school, the quality of an institution's administrative and professional personnel, and a measure of the institution's financial "vitality."

During Fiscal Year 1979, new regulations were adopted which consolidated the Basic and Advanced Programs into a single program, and changed the eligibility criteria. Because the eight quantitative and three qualitative criteria previously used were not successful in identifying institutions which the program was designed to strengthen, two new quantitative criteria replaced the old measures, resulting in a simpler eligibility process.

An institution is now evaluated upon the size of its average Basic Educational Opportunity Grant (BEOG) award per full-time undergraduate student. This criterion is a measure of the institution's service to low-income students, and is given double weight. The second criterion is the institution's cost per full-time equivalent undergraduate student in educational and general expenditures, which is a measure of the institution's financial health. The change in the eligibility criteria will not reduce the number of institutions eligible to apply for Title III funds, but the eligibility status of some individual institutions will change.

In order to ease the transition process between the former and the new regulations, all institutions which received Title III funds in FY 1978 were permitted to apply in 1979 irrespective of their ability to meet the new eligibility criteria. These grandfathered institutions competed equally with the institutions who did meet the eligibility criteria. Institutions will be grandfathered as long as the current regulations are in effect.

From 1966 through 1972 the program consisted of only the Basic Institutional Development Program (BIDP). The BIDP was a single year grant for basic institutional development. From 1973-1978 the Advanced Institutional Development Program (AIDP) was added as a separate program. The AIDP was a 3-5 year grant award for a relatively strong developing institution. On March 30, 1979, new regulations merged the BIDP and AIDP. Now, an institution needs to submit only one application to the SDIP which awards up to 5-year grants.

The program provides assistance to eligible applicant institutions in the form of grants which are awarded competitively on the basis of realistic long-range plans for development and relative ratings along a variety of quantitative and qualitative parameters (including those noted above) which are intended to assess an institution's ability to make effective use of an award. Developing institutions which participate in the Strengthening Developing Institutions Program (SDIP) may receive grants of one through five year duration. The Commissioner awards grants of one year duration to refine institutional mission and goals and to develop long-range plans for achieving an institution's academic goals or strengthening its management or both. Grants of up to three years duration are awarded to support the development and short-term implementation of other allowable activities such as improving the curriculum, strengthening student services, promoting faculty development and/or developing innovative academic programs. Grants of up to five years duration are awarded to support implementation of long-term programs to improve an institution financially and to strengthen its management.

Section 305 of the legislation (Public Law 92-318) allows the Commissioner to lend additional financial assistance to developing institutions under certain other programs of the Higher Education Act. Under this provision, and at the Commissioner's discretion, the non-Federal institutional share of costs for participating in the Titles II, IV, VI, and VII programs may be waived for institutions certified as developing institutions.

Program Scope:

From FY 1966 to FY 1979 over $968 million has been appropriated for this program. Of the over $637 million appropriated between FY 1973 and FY 1978, over $311 million was appropriated for the Basic Institutional Developmental Program (BIDP) and over $325 million was appropriated to the Advanced Institutional Developmental Program (AIDP). Tables I through IV present in detail the scope of operations for each program up to FY 1978.

Table I presents the scope of operations from 1966 to 1972. This program was only BIDP. From 1973-1978, SDIP consisted of BIDP and AIDP.

Table II presents the scope of operations from 1973-78 for the BIDP program. In 1972 just prior to the AIDP program, BIDP assisted 556 institutions and now many of these institutions are assisted by AIDP. The program during this period has assisted between 354 and 467 institutions per year, and the number of institutions served has been fairly consistent over the past four years. However, the number of assisting institutions or assisting agencies and businesses has grown. The number of National Teaching Fellowships and Professors Emeriti Grants have decreased.

In FY 1978 the mean award (Table IV) for the Basic Program was $218,000 per institution. The mean amount for the Advanced Program was $1,172,000 with two-year institutions receiving an average of $847,000 and four-year schools receiving on average $1,325,000, per institution. Over $65 million or 55 percent of all funds were awarded to institutions with predominantly black student bodies while $5 million and $4 million were distributed to institutions serving large numbers of Spanish-speaking and Native American students; a little more and a little less than five percent respectively. Thus, 64 percent of all funds were distributed to institutions serving large numbers of minority students. 1/ Two-year colleges by law cannot receive more than 24 percent of the funds.

Program Effectiveness and Progress:

The Advanced Institutional Development Program has supported 1,905 activities at 165 institutions. The ten most frequently funded activities, ranked by frequency for 1973-1978 are:

1/ This is exclusive of institutions serving large numbers of black students, which do not have predominantly black student bodies or programs for Spanish-speaking students at non-predominantly Spanish-speaking institutions.

Table I

TITLE III, HIGHER EDUCATION ACT OF 1965 STRENGTHENING DEVELOPING INSTITUTIONS BASIC INSTITUTIONAL DEVELOPMENT PROGRAM

COMPARATIVE DATA FOR FISCAL YEARS 1966-1972

	1966	1967	1968	1969	1970	1971	1972
Funds Appropriated & Obligated (in thousands)	$ 5,000	$30,000	$ 30,000	$30,000	$30,000	$ 33,850	$ 51,850
Funds Requested by Institutions (in thousands)	$32,250	$56,792	$113,925	$95,187	$85,434	$105,048	$143,000
Number of Proposals Submitted	310	560	500	464	433	441	456
Developing Institutions:							
Number of Grantee	127	411	220	229	227	198	226
Participating Institutions	31	55	148	186	215	307	330
Total	158	466	368	415	442	505	556
Assisting Institutions	66	168	131	142	156	151	185
Assisting Agencies & Businesses	9	53	28	47	51	53	101
National Teaching Fellowships Approved	263	1,514	727	655	649	541	635
Professors Emeriti 1/ Awarded	--	--	--	--	56	64	73
Geographical Representation (States/Territories)	(38/1)	(47/3)	(45/3)	(45/3)	(44/4)	(40/3)	(43/3)

1/ The Higher Education Amendments of 1968 added this component to the Program and the first award was in 1970.

Source: Program files, Bureau of Higher and Continuing Education.

Table II
TITLE III, HIGHER EDUCATION ACT OF 1965 STRENGTHENING DEVELOPING INSTITUTIONS BASIC INSTITUTIONAL DEVELOPMENT PROGRAM

COMPARATIVE DATA FOR FISCAL YEARS 1973-1978

	1973	1974	1975	1976	1977	1978
Funds Appropriated & Obligated (in thousands)	$ 51,850	$ 51,992	$ 52,000	$ 52,000	$ 52,000 2/	$ 52,000
Funds Requested by Institutions (in thousands)	$220,000	$198,000	$222,000	$196,000	$184,000	$172,000
Number of Proposals Submitted	470	511	491	431	410	415
Developing Institutions:						
Number of Grantee	235	215	207	203	190	238
Participating Institutions	232	139	230	232	229	205
Total	467	354	437	435	419	443
Assisting Institutions	181	163	141	163	168	211
Assisting Agencies and Businesses	134	178	118	166	149	257
National Teaching Fellowships Approved	354	524	461	362	3/	3/
Professors Emeriti 1/ Awarded	45	59	48	38	3/	3/
Geographical Representation (States/Territories)	(43/3)	(47/3)	(44/3)	(44/4)	(46/3)	(46/4)

1/ The Higher Education Amendments of 1968 added this component to the program and the first award was in 1970.
2/ An additional $476,440 was received from OE reprogrammed money to make the new total obligated funds--$52,476,440.
3/ Not available.

Source: Program files, Bureau of Higher and Continuing Education.

Table III
ADVANCED INSTITUTIONAL DEVELOPMENT PROGRAM
TITLE III, HIGHER EDUCATION ACT OF 1965
SUMMARY OF FISCAL YEARS 1973-78

	1973	1974	1975	1976	1977 *	1978	Total
Funds Appropriated & Obligated	$ 35,500,000	$ 48,000,000	$ 58,000,000	$ 58,000,000	$ 58,000,000	$ 68,000,000	$ 325,500,000
Funds Requested by Institutions	$336,554,162	$400,387,759	$318,997,848	$314,577,547	$281,373,538	$352,595,125	$2,004,485,979
Number of Proposals Submitted	156	205	174	134	193	135	997
Number of Institutions Funded	28	36	61	34	89	55	303
Number of New Institutions Funded	28	36	19	32	29	21	165
Number of Grants Awarded	28	36	63	34	110	58	320
Geographical Representation of Grantees (States)	22	18	26	23	29	26	36
Number of Different Four-Year Colleges Funded	17	23	44	22	63	37	103

In FY 1977 79 awards with a mean of $92,000 were made to previous grants.

Source: Program files, Bureau of Higher and Continuing Education.

Table IV
FUNDING SUMMARY
DEVELOPING INSTITUTIONS PROGRAM
TITLE III HIGHER EDUCATION ACT OF 1965
FY 1978

	Fiscal Year 1978				
	Basic		Advanced		Total
	(in thousands of dollars)				
Total Funding - Dollars	$52,000		$68,000		$120,000
Number of Institutions 1/	238		55		293
Mean Award	$218		$1,172		$410
Funding - Two-Year	$12,405	+	$16,320	=	$ 28,725
Funding - Percent Total	24		24		24
Number of Institutions	82		20		102
Mean Award	$151		$847		$288
Funding - Four-Year	$39,595	+	$51,680	=	$ 91,275
Funding - Percent Total	76		76		76
Number of Institutions	156		41		197
Mean Award	$254		$1,325		$468
Funding - Predominantly Black	$23,190		$42,700		$ 65,890
Funding - Percent Total	45		62.8		55
Number of Institutions	47		29		76
Mean Award	$493		$1,472		$867
Funding - Spanish-Speaking	$ 3,612		$ 1,540 **		$ 5,152
Funding - Percent Total	70		2.3		4.3
Number of Institutions *	22		2		24
Mean Award	$164		$770		$215
Funding - Native American	$ 4,070		$0		$ 4,070
Funding - Percent Total	7.8		0		7.8
Number of Institutions	20		0		20
Mean Award	$204		0		$204

1/ Institutions is number of grantee institutions including coordinating Institutions.

* Exceeds 20 percent Spanish-Speaking at that institution.

** 2,274,000 went to Hispanic programs. Some programs are not at Spanish-Speaking institutions.

Source: Program files.

AIDP - Ten Most Frequently Funded Activities
Fiscal Year 1973-1978

Activity	Number Funded	Obligated in $1,000	Number of Institutions
Top 10 Activities			
Planning Phase	200	$ 9,286	165
Planning, Management, and Evaluation	187	32,454	140
AIDP Coordination and Control	174	23,569	130
Vocational and Technical Training	318	64,489	110
Career Counseling/Guidance/ Advisement/Placement/Follow-Up	96	17,367	82
Instructional Methods and Technology	90	21,863	70
Strengthening Fund Raising Capacity	86	2,105	69
Management Information Systems	70	13,900	62
Varied Student Services	59	16,595	58
Developmental Studies Program	57	9,887	42
Percent of Total (top 10)	70	65	100
Total of All Activities	1,905	325,500	165

These activities constitute approximately 70 percent of all AIDP-funded activities and accounts for 65 percent of all expenditures under AIDP programs.

Findings of the most recent evaluation study indicated that:

1. The quantitative eligibility criteria that have been used by the Developing Institutions Program appear to differentiate between institutions which applied for basic assistance but were not funded, and institutions which applied for basic assistance and were funded. While there are frequently consistent differences between these groups when the mean values for a particular variable are compared, when institutional type (two- and four-year) and type of control (public vs. private) are controlled for, these differences are not statistically significant, given the large standard deviation in each of the variables. Whereas there are no significant differences between BIDP-funded and non-funded institutions, the largest differences that do exist relate to the enrollments of black students, low-income black students and black students receiving aid.

2. AIDP-funded institutions tend to be larger and better funded than AIDP non-funded applicants, BIDP-funded institutions, and BIDP non-funded institutions. AIDP-funded institutions and non-funded applicants differ significantly with respect to three of the ten eligibility criteria. AIDP institutions have a higher percent of low-income students receiving aid, pay their professors a higher average salary, and spend more on educational and general purposes/FTE student. AIDP institutions are somewhat higher than non-funded institutions on all of the rest of the criteria except average instructor's salaries and number of library volumes. AIDP-funded institutions are higher than BIDP-funded institutions on the basis of all criteria except average instructor's salary.

3. BIDP-funded, BIDP non-funded, AIDP-funded and non-applicant institutions all increased their levels of activity over the period 1970-75 in terms of quantitative criteria. The mean values for institutions in each of these categories showed a generally "improving" trend. But there appear to be no significant differences in the rate of "improvement" between Title III funded institutions and other categories of institutions. Thus, observed development in terms of the quantitative criteria used does not appear to be associated with Title III funded over the period.

4. AIDP-funded institutions appear to have higher total income for educational and general purposes than BIDP or non-funded applicant institutions (to both BIDP and AIDP). AIDP-funded institutions have larger physical-plant assets than either non-funded or BIDP institutions. Of these the public institutions tend to have greater physical-plant assets than private institutions.

5. Correlation studies indicate that institutions receiving support under Title III are generally successful in obtaining support from other sources. There are significantly positive correlations between the amount of Title III award and tuition and fees, State and local funding, and sponsored research for public institutions. For private institutions Title III funding had significant positive correlations with private gifts and other sources of Federal income. No meaningful relationship was found between the level of Title III award and endowment or other educational and general income. There is no evidence to suggest that Title III funding has been substituted for funding from other sources. Correlation, however, does not imply causality. Therefore it cannot be determined whether institutions which successfully acquire other funds also successfully acquire Title III funds, or whether receipt of Title III funds enables institutions to acquire other funds.

Ongoing and Planned Evaluation Studies:

The Financial Distress of Postsecondary Institutions

The primary objective of this study is to develop financial indicators that would guide policy decisions and help us respond to suggested Federal policy regarding financial aid to distressed postsecondary institutions.

Sources of Evaluation Data:

A Study of Title III of the Higher Education Act: The Developing Institutions Program, Center for Research and Development in Higher Education, University of California--Berkeley, January 1974.

Assessing the Federal Program for Strengthening Developing Institutions of Higher Education, General Accounting Office, October 31, 1975.

Program files, Division of Institutional Development, Bureau of Higher and Continuing Education.

The Development of Institutions of Higher Education: Theory and Assessment of Impact of Four Possible Areas of Intervention Plus Technical Appendices, Harvard Graduate School of Education, Cambridge, Massachusetts, January 1977.

For further information about program operations,

Contact: Edward Brantley, 245-2418

For further information about studies of program effectiveness,

Contact: James Maxwell, 2457884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Land-Grant Colleges and Universities

Legislation:

Second Morrill Act of 1890, as amended; 26 Stat. 417; 7 U.S.C. 322, 323; Bankhead-Jones Act, as amended; 49 Stat. 439; Public Law 182; 7 U.S.C. 329 as amended Title IX, Sec. 506 Higher Education Amendments of 1972.

Expiration Date:

Indefinite

Funding History:

Year	Authorization	Appropriation 1/
1964	$14,500,000	$14,500,000
1965	14,500,000	14,500,000
1966	14,500,000	14,500,000
1967	14,500,000	14,500,000
1968	14,500,000	14,500,000
1969	14,720,000	14,550,000
1970	14,922,000	14,720,000
1971	14,720,000	12,680,000
1972	14,720,000	12,600,000
1973	15,160,000	18,700,000 2/
1974	15,160,000	12,200,000
1975	15,160,000	12,200,000
1976	15,160,000	12,200,000
1977	15,160,000	14,200,000
1978	2,700,000 3/	2,700,000 3/
1979	2,700,000 3/	2,700,000 3/
1980	2,700,000 3/	2,700,000 3/

1/ Figures are the sum of permanent appropriation under the Second Morrill Act (i.e., $50,000 for each State and each jurisdiction regarded as a State for the purpose of this Act) and funds annually appropriated under the Bankhead-Jones Act.

2/ This figure includes a one-time appropriation of $6,000,000 for the two newly designated land-grant colleges of the Virgin Islands and Guam. Each jurisdiction received $3,000,000 to be invested in U.S. Government or other safe bonds, with the resulting interest to be used by the land-grant colleges.

3/ In FY 1978 administration of the Bankhead-Jones Act was transferred to the Department of Agriculture by Public Law 95-113. The $2,700,000 administered by Office of Education is the sum of $50,000 to each of 54 jurisdictions authorized by the Second Morrill Act.

Program Goals and Objectives:

The goal of the land-grant programs is to lend Federal support to the several States, and jurisdictions regarded as States for the purpose of this legislation, and for collegiate-level instruction in agriculture and the mechanical arts. In addition, program funds may be used to support instruction in the English language and the various branches of mathematical, physical, natural, and economic sciences. The objective of the Morrill Act of 1862 was to provide public lands to any State that would agree to establish an institution in which programs in agriculture and the mechanical arts would be available to the sons and daughters of working class people. The objective of the Morrill Act of 1890 was to provide funds to those States having a dual school system, with the use of such funds authorized for the establishment of a land-grant college for black persons. Later amendments to the land-grant colleges program were designed to maintain and increase the level of Federal support in continuing the availability of these educational programs for persons whose educational opportunities were limited.

Program Operations:

A land-grant college or university is an institution designated by a State legislature for the benefits of the First Morrill Act of 1862 or the Second Morrill Act of 1890. The original Act provided public land (in the amount of 30,000 acres for each Senator and Representative of a State) in order to ensure the development in each State of at least one institution "to teach such branches of learning as are related to agriculture and the mechanical arts." The Second Morrill Act provided for an appropriation of $25,000 for each State having a land-grant institution. The Nelson Amendment of 1907 doubled these appropriations to $50,000. The Bankhead-Jones Act of 1935 provided for additional support. Puerto Rico was added in 1908; the District of Columbia in 1969; and both Guam and the Virgin Islands in 1973.

In Fiscal Year 1978, administration of the Bankhead-Jones Act was transferred to the Department of Agriculture. The Office of Education administers only the Second Morrill Act, with its $50,000 to each of 54 jurisdictions. Monies are paid directly to State treasurers and, in the event that more than one land-grant institution exists in a State, State legislatures must provide by statute for the division of these monies. Funds may not be used to purchase land, nor may they be applied to the purchase, erection, repair, or preservation of buildings. Each land-grant institution is required to provide annually to the U.S. Office of Education a report on the expenditure of monies received under all land-grant appropriations.

Program Scope:

In Fiscal Year 1979, $2,700,000 was apportioned among the 54 jurisdictions. Of the 72 land-grant institutions only Cornell University in Ithaca and the Massachusetts Institute of Technology retain elements of private control. All of the land-grant colleges offer educational programs of more than two years duration. Currently, 17 States and the District of Columbia maintain two land-grant institutions, with the second land-grant institution in 16 of the States being established under the provisions of the Second Morrill Act of 1890. Nineteen of the land-grant institutions are predominantly black.

Program Effectiveness and Progress:

The land-grant colleges and universities program assists 72 land-grant institutions in meeting the continuing costs of instruction and equipment. Since these grants form a very small part of the institutions' recent budgets and the use of land-grant monies is of a discretionary nature, the current impact of these funds is difficult to assess. Nonetheless, abundant historical evidence indicates that the land-grant institutions created by this program have provided the bulk of the technical expertise which has made the U.S. agricultural sector the most technologically advanced and dynamic in the world.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Program files, Division of Training and Facilities, Bureau of Higher and Continuing Education.

For further information about program operations,

Contact: John Donahue, 245-9868

For further information about studies of program effectiveness,

Contact: Sal Corrallo, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Annual Interest Grants

Legislation:

Title VII-C, Section 745 of the Higher Education Facilities Act of 1965; as amended by the Higher Education Amendments of 1972 (formerly Title III, Section 306 of the Higher Education Act of 1963; Public Law 88-204)

Expiration Date:

September 30, 1980

Funding History:	Year	Authorization	Appropriation
	1969	$ 5,000,000	$ 3,920,000
	1970	11,750,000	11,750,000
	1971	25,250,000	21,000,000
	1972	38,750,000	29,010,000
	1973	52,250,000	14,069,000
	1974	65,750,000	31,425,000
	1975	79,250,000	0 1/
	1976	92,750,000	0 1/
	1977	Indefinite	0 1/
	1978	Indefinite	4,000,000
	1979	Indefinite	29,000,000
	1980	Indefinite	29,000,000

Program Goals and Objectives:

Annual Interest Grants is one of four programs (which include also Loans for Construction of Academic Facilities, Grants for Construction of Undergraduate Academic Facilities, and Grants for the Construction of Graduate Facilities) 2/ which were designed to help institutions of higher

---

1/ No appropriations were requested for continuing grant obligations in FY 1975, FY 1976, or FY 1977. A new accounting procedure was instituted wherein all outstanding obligations were de-obligated so that program obligations will agree contractually with the years in which payments commence under each grant agreement.

2/ New funding for Grants for the Construction of Graduate Facilities and Loans for the Construction of Academic Facilities ceased in 1969 (loans, however, were authorized to the extent that funds became available from cancellation of previous loan commitments). In 1978, at Congressional initiative, two loans totalling $7.2 million were authorized to assist Georgetown University and Tufts University in the construction of two model inter-cultural centers. In addition, Congress appropriated $5 million in grants for the same projects under the Title VII-B Graduate Facilities Grant Programs.

education meet a national shortage of facilities. The Annual Interest Grant Program became operational in Fiscal Year 1970 and was designed both to encourage the use of private capital for construction of academic facilities as well as to reduce the interest burden on borrowers to a level commensurate with direct loans for academic facilities.

Program Operations:

Institutions of higher education, cooperative graduate center boards, and higher education building agencies (i.e., State agencies empowered by the State to issue tax-exempt bonds on behalf of private institutions of higher education) have been eligible to apply for Federal annual interest grant assistance on loans obtained in the private market. Up to 90 percent of the cost of a project has been eligible for loan subsidies over a fixed period which may not exceed 40 years. Subsidy payments commence after either long-term financing arrangements have been consummated or after the project has been completed--whichever is later. Subsidies represent the difference between the interest amounts payable at the commercial rate on the loan and the amount payable at an interest rate of 3 percent. Not more than 12.5 percent of the annual appropriations for this program has been allowed for grants to any one State. Further, the aggregate principal amount of loans (or portions thereof) with respect to which annual interest grant subsidies were approved could not exceed $5 million per campus during any Federal fiscal year.

Prior to receipt by the central office, program applications were first reviewed by State Commissions, and subsequently by the appropriate DHEW regional office, to evaluate the request for assistance with regard to (1) space utilization, (2) enrollment projections, and (3) overall need for the facility for which assistance was requested.

Program priorities focused first upon applications from public community colleges and public technical institutions, from developing institutions, and for institutions in which enrollments from low-income families were at least 20 percent of the student body. Applications from all other institutions were regarded as a secondary priority. Within these two priority categories, requests were awarded so as to encourage a distribution of funds to those institutions or branch campuses which were (1) in urgent need of additional academic facilities--either due to inadequate facilities--and (2) committed to the enrollment of substantial numbers of veterans.

Program Scope:

No awards for annual interest grants have been made since Fiscal Year 1973. Since the program's inception in Fiscal Year 1970, 711 grants (subsidizing a total loan volume of $1,434,571,000) have been approved. As of the close of Fiscal Year 1979, 617 of these grants (subsidizing a loan volume of approximately $1 billion--or 70 percent of the total) have come into active pay status. Eighteen projects have been paid in full, 25 have been terminated and 51 are not yet in pay status.

Federal obligations for subsidies of annual interest grants amounted to $8,000 in FY 1971; $2,105,000 in FY 1972; $6,005,000 in FY 1973; $11,408,000 in FY 1974; $16,657,000 in FY 1975; $18,940,000 in FY 1976; $24,000,000 in FY 1977; $25,733,844 in FY 1978; and $23,546,584 in FY 1979. It is anticipated that when the total loan volume comes into active pay status, annual Federal obligations will approximate no more than $29,000,000 and that final payments under this program will extend until roughly 2020.

Of the $1,434,571,000 total subsidized loan volume, $364,595,000 (or 25.4 percent) of the loans were held by two-year institutions and $1,069,976,000 (or 74.6 percent) of the loans are held by four-year colleges and universities.

Program Effectiveness and Progress:

Since the inception of the Higher Education Facilities Act of 1963, the Federal Government has provided financial assistance for the construction or improvement of academic facilities throughout the 55 States and territories. During the period Fiscal Year 1965 through Fiscal Year 1975 almost $2.5 billion in direct Federal grants and loans were awarded. In addition, over $1.4 billion in commercial loans were approved for annual interest subsidy support involving an estimated annual commitment of Federal funds approximating $29 million. Over 1,800 institutions of higher education received financial assistance for the purpose of facilities construction and improvement and some 4,000 facilities costing in excess of $10 billion will have been constructed.

Findings of an USOE planning study report that the total stock of space in 1974 approximated 1,332,300,000 net assignable square feet. Roughly 25 percent of this total was constructed between academic years 1968-69 and 1973-74. In addition, construction completed by 1976 supplemented this stock by an estimated 80,000,000 square feet. This study also found that nationally aggregated comparisons of space standards with the space available showed few shortages, both for those categories where very specific space standards have been established (i.e., classrooms, laboratories, and office space) as well as for special use, general use, and support space. Non-academic space showed some excess; nonetheless, some shortages of space were observed in office space, study space, and laboratory facilities. When disaggregated, the data showed a tendency for some schools (particularly two-year private colleges) to be space-rich and for others (generally, public universities and public two-year colleges) to exhibit some shortages as a consequence of shifts in enrollment patterns. Other major findings noted (a) that neglecting of maintenance, which can increase the need for remodeling, was estimated to be common at approximately 20 percent of the public sector institutions and 40 percent of the private sector colleges and (b) that there was little evidence that the drying up of Federal construction funds has tended to affect college construction decisions.

In view of the large amount of construction over the last 10 years and the anticipated leveling off of higher education enrollments, it appears that the Federal assistance programs for new construction of higher education academic facilities have generally accomplished their objective. While certain areas of the country may still face a shortage of academic space, these deficiencies are believed to be limited, and the existing conditions do not constitute a national problem at this time.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

The Demand for Facilities in the Postsecondary Sector, 1975 to 1990, Joseph Froomkin, Inc., Washington, D. C.; August 15, 1974.

Program files, Division of Training and Facilities, Bureau of Higher and Continuing Education.

For further information about program operations,

Contact: Tom McAnallen, 245-3253

For further information about studies of program effectiveness,

Contact: Sal Corrallo, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Grants for Construction of Undergraduate Academic Facilities

Legislation: Expiration Date:

Title VII-A of the Higher Education Facilities Act of 1965; (formerly Title I of the HEFA 1963; Public Law 88-204); as amended by Public Law 92-318; as amended by Public Law 94-482; extended by Public Law 96-49.

September 30, 1980 1/

Funding History:

Year	Authorization	Appropriation
1965	$230,000,000	$230,000,000
1966	460,000,000	458,000,000
1967	475,000,000	453,000,000
1968	728,000,000	400,000,000
1969	936,000,000	83,000,000
1970	936,000,000	76,000,000
1971	936,000,000	43,000,000
1972	50,000,000	43,000,000
1973	200,000,000	43,000,000 2/
1974	300,000,000	0
1975	300,000,000	0
1976	300,000,000	0
1977	300,000,000	0
1978	300,000,000	0
1979	300,000,000	0
1980	300,000,000	

1/ Public Law 94-482, "Education Amendments of 1976," was passed in September 1976. It authorizes Grants for Construction of Undergraduate Academic Facilities until October 1, 1979, and expanded the scope of the program by authorizing grants for reconstruction and renovation projects designed to:

(1) Economize on the use of energy.

(2) Bring facilities into conformance with the Architectural Barriers Act of 1968 (making facilities accessible to the handicapped).

(3) Bring facilities into conformance with health, safety, or environmental protection requirements mandated by Federal, State, or local law.

2/ Funds appropriated in Fiscal Year 1973 were released to the program in May 1974 for obligation during Fiscal Years 1974 and 1975.

Program Goals and Objectives:

Grants for Construction of Undergraduate Academic Facilities is one of four programs (which include also Loans for Construction of Academic Facilities, Annual Interest Grants, and Grants for the Construction of Graduate Facilities) 1/ which were designed to help institutions of higher education meet a national shortage of facilities. The objective of this program is to provide grants to institutions of higher education to finance the construction, rehabilitation, or improvement of undergraduate academic facilities.

Program Operations:

Funds for public community colleges and public technical institutes under this program are allotted to each State by a formula based on the number of high school graduates and per capita income of residents. Funds for other institutions are allotted to each State by a formula based on the number of students enrolled in institutions of higher education and the number of students in grades 9 through 12. Within each State, Federal grants may be awarded for up to 50 percent of the project development cost. Not less than twenty-four percent of funds appropriated under the Title must be reserved for community and technical schools.

Grants are not given for the construction of facilities for which admission is normally charged, for facilities used for sectarian instruction, for facilities for schools of the health professions as defined in the Higher Education Facilities Act, or for residential, dining, and student loan facilities.

The law requires that each state establish a Commission for Higher Education Facilities, which would determine priorities, including those regarding the allocation of Federal funds to each project.

Program Scope:

No appropriations have been made for this program since Fiscal Year 1973. Funds appropriated in Fiscal Year 1973 were released to the program in May 1974 for obligation during Fiscal Years 1974 and 1975. In FY 1974, 13 grants totalling $3,053,735 were made. In FY 1975, 198 grant agreements totalling $39,866,947 were executed--leaving an unobligated balance of $79,318 from the FY 1973 appropriation.

1/ With one exception, funding for Grants for the Construction of Graduate Facilities and new funding of Loans for the Construction of Academic Facilities ceased in 1969 (loans were authorized only to the extent that funds became available from cancellation of previous loan commitments). However, in 1978, at Congressional initiative, two loans totalling $7.2 million were authorized from the unobligated balance in the loan fund to assist Georgetown University and Tufts University in the construction of two model inter-cultural centers. In addition to the two loans, Congress appropriated $5 million in grants for the same projects under the Title VII-B Graduate Facilities Grant Program.

Of the 198 grants awarded during FY 1975, 130 were new grants and 68 were supplemental awards. Public community colleges and public technical institutes were awarded their full allotment of $9,273,991; while all other institutions of higher education were awarded $30,592,956--leaving the unobligated balance of $79,318.

Program Effectiveness and Progress:

Since the inception of the Higher Education Facilities Act of 1963, the Federal Government has provided financial assistance for the construction or improvement of academic facilities throughout the 55 States and territories. During the period Fiscal Year 1965 through Fiscal Year 1975 almost $2.5 billion in direct Federal grants and loans were awarded. In addition, over $1.4 billion in commercial loans were approved for annual interest subsidy support involving an estimated annual commitment of Federal funds approximating $29 million. Over 1,800 institutions of higher education received financial assistance for the purpose of facilities construction and improvement and some 4,000 facilities costing in excess of $10 billion will have been constructed.

Findings of a USOE planning study report that the total stock of space in 1974 approximated 1,332,300,000 net assignable square feet. Roughly 25 percent of this total was constructed between academic years 1968-69 and 1973-74. In addition, construction completed by 1976 supplemented this stock by an estimated 80,000,000 square feet. The study also found that nationally aggregated comparisons of space standards with the space available showed few shortages, both for those categories where very specific space standards have been established (i.e., classrooms, laboratories, and office space) as well as for special use, general use, and support space. Non-academic space shows some excess. Nonethelesss, some shortages of space were observed in office space, study space, and laboratory facilities. When disaggregated, the data showed a tendency for some schools (particularly two-year private colleges) to be space-rich and for others (generally, public universities and public two-year colleges) to exhibit some shortages as a consequence of shifts in enrollment patterns. Other major findings noted (a) that neglecting of maintenance, which can increase the need for remodeling, was estimated to be common at approximately 20 percent of the public sector institutions and 40 percent of the private sector colleges and (b) that there was little evidence that the drying up of Federal construction funds has tended to affect college construction decisions.

In view of the large amount of contruction over the last 10 years and the anticipated leveling off of higher education enrollments, it appears that the Federal assistance programs for new construction of higher education academic facilities have generally accomplished their objective. While certain areas of the country may still face a shortage of academic space, these deficiencies are believed to be limited, and the existing conditions do not constitute a national problem at this time.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

The Demand for Facilities in the Postsecondary Sector, 1975 to 1990, Joseph Froomkin, Inc., Washington, D. C.; August 15, 1974.

Program files, Division of Training and Facilities, Bureau of Higher and Continuing Education.

For further information about program operations,

Contact: Tom McAnallen, 245-3253

For further information about studies of program effectiveness,

Contact: Sal Corrallo, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Loans for Construction of Academic Facilities

Legislation:

Public Law 89-329, Title VII-C of the Higher Education Facilities Act of 1965; as amended by Public Law 92-318 (formerly Title III of the HEFA; Public Law 88-204); as amended by Public Law 94-482; extended by Public Law 96-49.

Expiration Date:

September 30, 1980 1/

Funding History:

Year	Authorization	Appropriation
1964	$120,000,000	$ 0
1965	120,000,000	169,250,000
1966	120,000,000	110,000,000
1967	200,000,000	200,000,000
1968	400,000,000	0
1969	400,000,000	100,000,000
1970	400,000,000	0
1971	400,000,000	0
1972	50,000,000	0
1973	100,000,000	0
1974	150,000,000	0
1975	200,000,000	0
1976	200,000,000	0
1977	200,000,000	0
1978	200,000,000	0
1979	200,000,000	0
1980	200,000,000	0

1/ Public Law 94-482, "Education Amendments of 1976," was passed in September 1976. It authorizes "Loans for Construction of Academic Facilities" through October 1, 1979, and expands the scope of the program by authorizing loans for reconstruction and renovation projects designed to:

(1) Economize on the use of energy.

(2) Bring facilities into conformance with the Architectural Barriers Act of 1968 (making facilities accessible to the handicapped).

(3) Bring facilities into conformance with health, safety or environmental protection requirements mandated by Federal, State, or local law.

Program Goals and Objectives:

Loans for Construction of Academic Facilities is one of four programs which include also Annual Interest Grants, Grants for Construction of Undergraduate Academic Facilities, and Grants for the Construction of Graduate Facilities 1/ designed to help institutions of higher education meet a national shortage of facilities. The objective of this program has been to help reduce the financial burden on institutions of higher education by making available to them loans with low rates of interest.

Program Operations:

Loans have been awarded pursuant to the following stipulations: (1) that not less than 20 percent of the development cost of the facility be financed from non-Federal sources (this requirement may be waived for schools qualified as developing institutions under HEA Title III), (2) that applicants have been unable to secure the amount of such loan from other sources upon terms and conditions equally as favorable as the terms and conditions applicable to loans under this program, (3) that construction will be undertaken in an economical manner and that it not be of elaborate or extravagant design or materials, and (4) that, in the case of a project to construct an infirmary or other facility designed to provide primarily for outpatient care of students and institutional personnel, no financial assistance be provided for such project under Title IV of the Housing Act of 1950.

Loans have been made available to institutions of higher education, to cooperative graduate center boards, or to higher education building agencies (i.e., State agencies empowered by the State to issue tax-exempt bonds on behalf of private institutions of higher education) for the purpose of constructing only academic facilities. Although the law allows for a repayment period of 50 years, loans have normally been made available for 30 years--with exceptions, under certain circumstances, permitting a maximum loan period of 40 years. Interest rates on these loans cannot exceed 3 percent per annum.

Program Scope:

This program has not received any appropriations since Fiscal Year 1969, as it was anticipated that the same objectives would be accomplished under the Annual Interest Grants Program and with the use of private capital. Since Fiscal Year 1970, this program has been authorized to make new loans to the extent that funds became available through the termination

---

1/ Funding of Grants for Construction of Graduate Facilities ceased in 1969. However, in FY 1978 $5 million was appropriated for grants for two model intercultural centers at Georgetown and Tufts Universities. Funding for Grants for Construction of Undergraduate Facilities ceased in 1973. No new awards for Annual Interest Grants have been made since FY 1973.

(primarily through withdrawal) of prior-year loan commitments. During Fiscal Year 1975, the remaining funds released through cancellation of prior loans were approved for new loan commitments. However, in 1978, at Congressional initiative, two loans totalling $7.2 million were authorized from the unobligated balance in the loan fund to assist Georgetown University and Tufts University in the construction of two model inter-cultural centers. In addition to the two loans, Congress appropriated $5 million in grants for the same projects under the Title VII-B Graduate Facilities Grant Program.

Since Fiscal Year 1972, program priorities have focused upon the extension of loan commitments to predominantly black colleges. In Fiscal Year 1975, six loan commitments totalling $2,317,000 and supporting construction estimated at $16,843,783 were approved--all to private, four-year colleges. Four of these approvals were loan increases to predominantly black colleges; the remaining two were new loan approvals to predominantly white institutions.

Program Effectiveness and Progress:

Since the inception of the Higher Education Facilities Act of 1963, the Federal Government has provided financial assistance for the construction or improvement of academic facilities throughout the 50 States and the territories. During the period Fiscal Year 1965 through Fiscal Year 1975 almost $2.5 billion in direct Federal grants and loans were awarded. In addition, over $1.4 billion in commercial loans were approved for annual interest subsidy support involving an estimated annual commitment of Federal funds approximating $29 million. Over 1,800 institutions of higher education received financial assistance for the purpose of facilities construction and improvement and some 4,000 facilities costing in excess of $10 billion will have been constructed.

Findings of a USOE study report that the total stock of space in 1974 approximated 1,332,300,000 net assignable square feet. Roughly 25 percent of this total was constructed between academic years 1968-69 and 1973-74. In addition, construction completed by 1976 supplemented this stock by an estimated 80,000,000 square feet. The study also found that nationally aggregated comparisons of space standards with the space available showed few shortages, both for those categories where very specific space standards have been established (i.e., classrooms, laboratories, and office space) as well as for special use, general use, and support space, while non-academic space shows some excess. Some shortages of space were observed in office space, study space, and laboratory facilities. When disaggregated, the data showed a tendency for some schools (particularly two-year private colleges) to be space-rich and for others (generally, public universities and public two-year colleges) to exhibit some shortages as a consequence of shifts in enrollment patterns. Other major findings noted (a) that neglecting of maintenance, which can increase the need for remodeling, was estimated to be common at approximately 20 percent of the public sector institutions and 40 percent of the private sector colleges and (b) that there was little evidence that the drying up of Federal funds has tended to affect college construction decisions.

In view of the large amount of construction over the last 10 years and the anticipated leveling off of higher education enrollments, it appears that the Federal assistance programs for new construction of higher education academic facilities have generally accomplished their objective. While certain areas of the country may still face a shortage of academic space, the existing conditions do not appear to constitute a national problem at this time.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

The Demand for Facilities in the Postsecondary Sector, 1975 to 1990, Joseph Froomkin, Inc., Washington, D. C.: August 15, 1974.

Program files, Division of Training and Facilities, Bureau of Higher and Continuing Education.

For further information about program operations,

Contact: Tom McAnallen, 245-3253

For further information about studies of program effectiveness,

Contact: Sal Corrallo, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Cooperative Education Program

Legislation:	Expiration Date:
Authorization: Higher Education Act of 1965 (Title VIII), Public Law 89-329, as amended by Public Law 90-575, October 16, 1968; and Public Law 92-318, June 23, 1972; and Public Law 94-482, October 12, 1976.	September 30, 1982

Funding History:	Year	Authorization	Appropriation
	1970	1/	$ 1,540,000
	1971	1/	1,600,000
	1972	$10,750,000	1,700,000
	1973	10,750,000	10,750,000
	1974	10,750,000	10,750,000
	1975	10,750,000	10,750,000
	1976	14,000,000	10,750,000
	1977	16,500,000	12,250,000
	1978	22,500,000	15,000,000
	1979	28,000,000	15,000,000
	1980	28,000,000	15,000,000 (est.)

Program Goals and Objectives:

The primary objective of this program is to assist institutions of higher education to establish, strengthen, or expand Cooperative Education programs on their campuses. Such programs are designed to provide alternating periods of academic study and of public or private employment, the latter affording students not only the opportunity to earn funds necessary for continuing and completing their education, but so far as practicable giving them work experiences related to their academic or occupational objectives.

In addition, the legislation for this program authorizes grants or contracts for training, research, and demonstration, the purpose of which is to train Cooperative Education administrators and to seek methods of improving Cooperative Education programs.

1/ One percent of the College Work-Study appropriation was authorized to be used in support of Cooperative Education programs at higher education institutions.

Program Operations:

Under the Cooperative Education program, as amended and provided for under Title VIII of the Higher Education Act, grants are awarded to institutions on a proposal basis, with an institution eligible to apply for annual grants for up to five years. Awards to an individual institution cannot exceed $175,000 in any one year. In the case of a consortium of institutions, the maximum award in one year is $125,000 times the number of institutions in the consortium. Further restrictions on amount of awards are (1) the first year's grant may not exceed 100 percent of total administrative costs, (2) the second year's grant may not exceed 90 percent of such cost, (3) the third year's grant may not exceed 80 percent of such cost, (4) the fourth year's grant may not exceed 60 percent of such cost, and (5) the fifth year's grant may not exceed 30 percent of such cost. Funds must not be used as compensation for student employment. Salaries and other administrative expenses for Cooperative Education administrators are payable from grant funds.

Institutions receiving second, third, fourth, and fifth year administration grants are required to provide 10, 20, 40, and 70 percent of administration costs for those respective years. In addition, program regulations require each applicant for a cooperative education grant to indicate on its grant application that it will spend during the grant year not less than it spent for cooperative education during the prior fiscal year. The program does not collect any subsequent data.

The institutions of higher education assume the responsibility for assigning the student to a job relevant to his academic program and providing supervision during the work period. The institution evaluates, with employer input, the student's job performance and in most cases awards academic credit for the work experience. Cooperative Education is an academic program and is recorded on the transcript.

Under Section 803 of Title VIII, grants are made to institutions of higher education or other non-profit organizations to conduct workshops and other learning activities, the purpose of which is to train persons in the planning, establishing, administration, or coordination of cooperative education programs.

Under Section 803 of Title VIII, grants are also made to non-profit organizations and higher education institutions to conduct research into methods of improving, developing, or promoting the use of programs of cooperative education in institutions of higher education.

In Fiscal Year 1979, grants were made for the first time to demonstrate or explore the feasibility or value of innovative methods of cooperative education.

Program Scope:

In 1970, there were only 195 Cooperative Education programs, while in 1977, 1,040 institutions participated in the program which amounts to about one-third of the Nation's institutions of higher education. Three-fourths of the 1,040 Co-op colleges and universities have received Federal grant support. During the nine-year funding history of this program, fifty percent of the applicants have been successful in obtaining grants.

In Fiscal Year 1979, 606 proposals from 627 institutions were submitted. They requested $33,429,514. With an appropriation of $15 million in 1979, 253 administration grants, 17 training grants (total of $1,166,138), and 5 research grants (total of $278,133) were awarded to a total of 303 institutions. About 78 percent of the institutions awarded grants are public. Forty-three percent of the grants (worth $5,671,158) went to two-year colleges and 57 percent of the grants (worth $6,862,362) went to four-year colleges.

Program Effectiveness and Progress:

Applied Management Sciences has completed a nationwide mandated study of Cooperative Education which compared cooperative education students and graduates with students and graduates in the same academic field who had not gone the cooperative education route. Data were collected from over 8,000 respondents affiliated with 80 schools which were visited and 32 additional schools in which key administrators were queried by mail. Included in the sample were two-year and four-year schools, schools with Title IV-D 1/ funding and schools without Title IV-D funding, and even schools without cooperative education. Respondents included students, graduates (both Co-op and non-Co-op), faculty administrators, and employers.

Major findings of the study were:

o The majority of the institutions, students, graduates and employers who do or did participate in cooperative education expressed strong support for it.

o As compared to their non-Co-op counterparts, more Co-op students perceived that their job skills were improving as they advanced through their undergraduate programs. Also, as they approached graduation, Co-op students had a clearer and more specific sense of their career objectives than did non-Co-op students.

1/ At the time of the evaluation study, the Cooperative Education program was authorized by Title IV-D of the Higher Education Act. The Education Amendments of 1976 reauthorized Cooperative Education under Title VIII of the Higher Education Act.

- Among graduates, the findings showed that Cooperative Education participants had a more direct relationship between college major and full-time after-graduation employment, and current job and career plans, than did graduates who had not participated in Cooperative Education.

- The large majority of students enrolled in Cooperative Education programs are compensated for their work and, hence, Cooperative Education is for them an income-producing activity. This income may legitimately be viewed as student financial assistance. For approximately one-third of the students, this was found to be of paramount importance in their decision to enroll in Cooperative Education. It was very important to even larger proportions of certain subgroups within the student sample, specifically minority group and economically disadvantaged students. For the majority of students and institutional personnel, however, the financial assistance aspect of Cooperative Education was secondary to its educational potential.

- Estimated lifetime financial returns to students were greater for those who participated in Cooperative Education even when it required an additional year of schooling. Reasons for this included the larger student net income of the Co-op student, the shorter period of unemployment following graduation, and the higher starting salary for the Co-op graduate.

- Within particular curricula, higher lifetime financial returns were estimated for Co-op participants in four-year and two-year programs and for those majoring in business and engineering compared with their non-participant counterparts. This did not hold true for liberal arts majors.

- The additional costs experienced by employers in hiring Cooperative Education students compared to their regular employees were small. The only appreciably greater costs were the one time start-up costs and costs assigned to the evaluation of Co-op students. Wages and fringe benefits, and supervisory and training costs, were on the average slightly lower for Co-op students than for regular employees. On the other hand, benefits included greater student productivity as judged by employers and the ability of employers to recruit future full-time employees at a reduced cost over more customary means, such as campus recruitment.

- For the institutions in the study sample, the average net institutional cost per student exceeded $500 per year. Per student costs were found to be related in size; larger in small programs and decreasing as program size increased. On the other hand, these costs are often balanced by increased per student revenues resulting from additional tuition and, in the case of some public institutions, head count based State appropriations received while students were participating in off-campus work assignments. On balance, however, approximately 80 percent of the programs experience a net program cost.

- In a period of about six years, HEA Title IV-D grants have been very effective in increasing the number of Cooperative Education programs (from approximately 300 to over 1,000), but apparently have had little influence on the nature and structure of the programs. Many institutions said they would not have initiated the program without this outside funding.
- Overall, Title IV-D grants absorbed approximately 55 percent of the institutional costs of developing and maintaining programs of Cooperative Education.
- The study found little difference between IV-D supported and non-IV-D supported programs of Cooperative Education with regard to most program characteristics, e.g., mandatory versus optional programs, kinds of employers, and job category of students.
- Currently, only one-third of all institutions of postsecondary education participate in Cooperative Education. Only two percent of all postsecondary students are enrolled in Cooperative Education.
- More than three-quarters of the institutions which have Co-op programs plan to expand them, and almost one half of current Cooperative Education employers plan to expand their participation.
- Lack of understanding of and information about Cooperative Education were commonly given reasons for non-participation in Cooperative Education by students, institutions, and employers.

Ongoing and Planned Evaluation Studies:

An exploratory evaluation study of the Cooperative Education program has been initiated. This study will identify the goals of all parts of the program (administration, training and research) from the perspective of the program manager, policy maker and Congress. It will also identify measureable objectives to achieve an agreed upon synthesized set of goals to establish a demonstrably effective program.

Sources of Evaluation Data:

Program Files, Bureau of Higher and Continuing Education.

Applied Management Sciences, "Cooperative Education - A National Assessment."

For further information about program operations,

Contact: John Chase, 245-2146

For further information about studies of program effectiveness,

Contact: Ann Hershner, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

State Postsecondary Education Commissions

Legislation:

Higher Education Act of 1965, as amended; Title XII, Section 1202 and 1203; Public Law 89-329, as amended.

Expiration Date:

September 30, 1980

Funding History:

Year	Authorization	Appropriation
1965	$3,000,000	$3,000,000
1966	2,000,000	2,000,000
1967	7,000,000	7,000,000
1968	7,000,000	7,000,000
1969	7,000,000	7,000,000
1970	7,000,000	6,000,000
1971	7,000,000	6,000,000
1972 2/	7,000,000	6,000,000
1973	1/	3,000,000
1974	1/	3,000,000
1975	1/	3,000,000
1976	1/	3,500,000
1977	1/	3,500,000
1978	1/	3,500,000
1979	1/	3,500,000
1980	1/	-0- (est.)

Program Goals and Objectives:

The goal of this program is to encourage improved statewide coordination of higher education planning and functions. Specific program objectives include: (1) the establishment of State Postsecondary Education Commissions which are "broadly and equitably representative of the general public and public and private non-profit and proprietary institutions of postsecondary education in the State including community colleges (as defined in Title X), junior colleges, postsecondary vocational schools, area vocational schools, technical institutes, four-year institutions of higher education and branches thereof" and (2) an expansion in the scope of the studies and planning through comprehensive

---

1/ Such sums as are necessary to carry out this section.

2/ Prior to FY 1973, the legislation provided funding for physical facilities planning only.

inventories of, and studies with respect to, all public and private postsecondary educational resources in the State, including planning necessary for such resources to be better coordinated, improved, expanded, or altered so that all persons within the State who desire, and can benefit from, postsecondary education may have an opportunity to do so; and (3) planning, developing, and carrying out interstate cooperative postsecondary education projects designed to increase the accessibility of postsecondary educational opportunities for the residents of the participating States, and to assist such States to carry out postsecondary education programs in a more effective and economical manner.

Program Operations:

The Higher Education Amendments of 1972, Section 1202 (a), P.L. 92-318, amended Title XII of the HEA of 1965 to require the establishment of State Postsecondary Education Commissions if a State desires to participate in the comprehensive planning grants program authorized under Section 1203 of the HEA. Under Section 1202 (c), these State Commissions, popularly called 1202 Commissions in reference to the section of the law authorizing them, may also, at the State's discretion, be designated as the State agency for administering HEA Section 105 (Community Services and Continuing Education, Title I), HEA Section 603 (Undergraduate Equipment Grant Program, Title VI-A), and HEA Section 704 (Grants for Construction of Undergraduate Academic Facilities, Title VII-A). Section 1202 (c) further authorizes the payment of funds to the 1202 Commissions to cover the costs of administering the State plans required under Titles VI-A and VII-A. Section 1202 (d) provides that if a State desires to participate in the Titles VI-A and VII-A programs but does not desire to assign the Titles VI-A and VII-A functions to the 1202 Commission, it must establish a separate State commission which is "broadly representative of the public and of institutions of higher education (including junior colleges and technical institues in the State."

Determination of 1202 Commission eligibility for receipt of planning funds has been based upon a review of State-provided information demonstrating how the Commission has met the requirements of Section 1202. Such information must include: (1) a letter signed by the Governor, explaining how the membership of the State Commission meets the "broadly and equitably representative" requirements of Section 1202 (a) and what provisions have been made to ensure continuing compliance with these requirements of the law; (2) an indication of which of the following three options for establishing a 1202 Commission the State has chosen to follow: (i) creation of a new commission, (ii) designation of an existing State agency or State commission, or (iii) expanding, augmenting, or reconstituting the membership of an existing State agency or State commission; (3) an indication of which, if any, of the Titles I, VI-A, and VII-A programs have been assigned to the commission; and (4) other information regarding various particulars of the commission.

After a 1202 Commission has been established, a State is eligible to participate in the comprehensive planning grant programs authorized under Section 1203 of the Act. Section 1203 (a) authorized a program of grants for comprehensive planning for postsecondary education on an intrastate basis. This program is operated as a formula grant program. State Commissions must include the following in their applications: (1) a description of the comprehensive planning activities (and their objectives) for which the grant funds are being requested; (2) a description of the need for the activities (including deficiencies or problems in the current status of comprehensive planning for postsecondary education in the State; (3) a description of the approach (including the methods to coordinate with institutions and agencies concerned with postsecondary education in the State); and (4) a description of the anticipated benefits and results to be obtained from the proposed planning activities (including the use of such results and their relationship to the needs indicated previously.

Section 1203 (c) of the Act authorizes a program of grants to State Commissions and to interstate compact postsecondary educational agencies, applying jointly, for comprehensive planning for postsecondary education on an interstate basis. Final eligibility and funding criteria for this program have been developed. However, no funds have been requested or appropriated for this program.

Program Scope:

Fifty-five 1202 Commissions (representing 48 States and 7 jurisdictions) were eligible for Fiscal Year 1978 funding in support of Section 1203 (a) planning activities during 1978-79. Of the 55 commissions, 23 were newly established commissions, 19 are existing agencies, and 13 are augmented agencies. Thirty-four of the commissions were also assigned the responsibilities for coordinating the Titles I, VI-A, and VII-A programs; 7 commissions were assigned responsibilities for administering the Titles VI-A and VII-A programs only; one (1) commission was assigned the responsibility for administering the Title I program only; and 13 commissions were assigned no responsibilities for Federal programs other than the Section 1203 planning activities and the review of proposals submitted both to the Fund for the Improvement of Postsecondary Education, and to OE for graduate fellowships under Title IX, HEA. In May 1978 the Wyoming Higher Education Council was abolished, leaving a total of 54 1202 Commissions in operation.

Latest data regarding 1202 Commission membership reflect composition by type of institution represented, by sex, and by race. With respect to institutional representation, 63.09 percent of 745 members represented the general public, 9.26 percent represented public four-year institutions, 3.22 percent represented public community and junior colleges; 6.58

percent represented public vocational and technical institutes, 9.13 percent represented private non-profit institutions, 3.62 percent represented proprietary schools, and 5.10 percent represented other interests. By sex, 80.19 percent of 757 members were male and 19.81 percent were female. By race, 9.02 percent of 732 members were Black Americans, 1.37 percent were American Indians, 1.23 percent were Asian Americans, 3.14 percent were Spanish-surnamed Americans, and 85.24 percent were members of all other racial classifications.

Of the $3,500,000 appropriation for Fiscal Year 1978, $500,000 was apportioned among State Higher Education Facilities Commissions. The remaining $3 million was distributed among the 54 applicant 1202 Commissions on a two-part formula in which (1) each applicant received $30,000 and (2) the balance of the funds ($1,380,000) were allocated on the basis of the ratio of the population of a postsecondary age (i.e., ages 17 and above as indicated in the latest data available from the U.S. Bureau of the Census) in a given State to the total in all those States which applied. Under this procedure, grants ranged from a low of $30,069 to a high of $173,962--with the average being slightly less than $56,000.

During 1978-79, the Section 1203 (a) grants supported a wide variety of postsecondary educational planning activities in areas including, but not limited to, the following (1) continuing education, educational brokering, and non-traditional education; (2) studies of manpower needs in various fields, including allied health fields; (3) student assistance needs and resources; (4) role and scope of all postsecondary institutions in that State; (5) structure and governance of postsecondary education; (6) occupational education; (7) proprietary schools; (8) establishing and expanding data bases and management information systems; (9) enrollment projections; and (10) facilities planning and analysis activities.

Program Effectiveness and Progress:

In general, more recent applications were of better quality than those submitted in the first year of the program. The States appear to be assessing their individual planning needs in a more coordinated fashion, with many of the proposed activities building upon others which were already in progress or completed. In addition, the Fund for the Improvement of Postsecondary Education found that the 1202 Commissions are taking more initiative in reviewing Fund proposals and the problems exhibited during the FY 1974 cycle (those included (1) the need for a constant educative process of State personnel, since the timing of the review of Fund proposals were coincidental with the establishment of the 1202 Commissions, (2) the greater difficulty faced by smaller states in devoting staff resources to the review of proposals, and (3) some suggestions that, in States where a large university system existed, bias was shown in favor of institutions within that system, while those outside of the system received less favorable reviews) appear to have been alleviated. Also, recent information suggests that while progress has been made in the coordination of postsecondary planning with statewide vocational and manpower planning, it has not been as widespread and effective as might be desired.

One unresolved issue relates to the question of how strictly and in what manner the "broadly and equitably representative" language of the law should be interpreted. During FY 1975 this question was raised with regard to the composition of 1202 Commissions in six States. It has not been raised since then. The concerns were referred to the respective Governors for resolution and have since been resolved. Also, what role should the Office of Education play with regard to Commission make-up, with regard to Commission activities, and in what areas of activity, if any? This issue remains unanswered at this time.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Program files, State Planning Commissions Office, Bureau of Higher and Continuing Education.

The Changing Map of Postsecondary Education, State Postsecondary Education Commissions (1202): Their Origin, Development, and Current Status, Education Commission of the States, Denver, April 1975.

For further information about program operations,

Contact: Charles Griffith, 245-2671

For further information about studies of program effectiveness,

Contact: Sal Corrallo, 245-7884

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Community Service and Continuing Education Program

Legislation:

Title I, Part A of Higher Education Act of 1965. Public Law 89-329, Higher Education Amendments of 1976; extended by Public Law 96-49.

Expiration Date:

September 30, 1980

Funding History:

Year	Authorization	Appropriation
1966	$25,000,000	$10,000,000
1967	50,000,000	10,000,000
1968	50,000,000	10,000,000
1969	10,000,000	9,500,000
1970	50,000,000	9,500,000
1971	60,000,000	9,500,000
1972	10,000,000	9,500,000
1973	30,000,000	15,000,000
1974	40,000,000	14,250,000
1975	50,000,000	14,250,000
1976	50,000,000	12,125,000
1977	40,000,000	14,125,000
1978	40,000,000	18,000,000
1979	40,000,000	16,000,000
1980	40,000,000	10,000,000 (est.)

Program Goals and Objectives:

The Community Service and Continuing Education (CSCE) program provides support to the States and to institutions of higher education for the following purposes:

(1) To assist in the solution of community problems by strengthening community service programs of colleges and universities;

(2) To support the expansion of continuing education in colleges and universities; and

(3) To support planning for resource materials sharing.

The Community Service and Continuing Education program has been especially designed to meet the educational needs and interests of adults who have been inadequately served by traditional educational offerings in their communities.

Program Operations:

The program has four distinct parts: a State-grant program, Special Experimental and Demonstration Projects, Special Programs for the Elderly, and technical assistance provisions.

The State-grant program is administered by designated State agencies, each of which develops a State plan, establishes priorities among problem areas, and is responsible for reviewing and approving institutional proposals for support. One third of total program costs must be met from non-Federal funds.

Special Experimental and Demonstration Projects were authorized by the Education Amendments of 1972. Section 106 provides for a set-aside of 10 percent of appropriations in excess of $9.5 million to carry out projects designated to seek solutions to national and regional problems relating to technological and social change and environmental pollution. Priorities are determined annually by the Commissioner in consultation with the National Advisory Council on Extension and Continuing Education. Grants are made by the Office of Education to institutions on the basis of proposals submitted by them.

The Special Programs for the Elderly portion of CSCE was authorized by the Older Americans Comprehensive Services Amendments of 1973. No funds have been made available; therefore, this authority has not been exercised. The authority expired September 30, 1979.

The Education Amendments of 1976 authorized the Commissioner to reserve no more than 10 percent of the amount appropriated for State formula grants in excess of $14,500,000 for technical assistance to States and higher education institutions and amended the CSCE program by adding provisions for technical assistance to States and higher education institutions. The technical assistance is to provide a national diffusion network to help assure that effective programs are known among the States and institutions; assist with the improvement of planning and evaluation procedures; provide information about the changing enrollment patterns in postsecondary institutions; and provide assistance to the States and institutions in their efforts to understand these changing patterns and to accommodate them.

Program Scope:

In FY 1979, 54 eligible jurisdictions out of 57 participated in the program.

State agencies in FY 1978 received $15,850,000 with which they funded 672 specially designed continuing education programs involving a total of 700 institutions of higher education. In addition, in FY 1978 grants were made to fund 24 Special and Continuing Education projects. These grants supported projects designed to seek solutions to national and regional problems related to social and technological change and environmental pollution.

Of the 24 projects, 12 were renewals with awards ranging from $18,201 to $117,002. Twelve of the projects were new and received awards ranging from $46,942 to $88,561.

Program Effectiveness and Progress:

In FY 1978, according to State program statistics, 602 projects were completed. Of these, 358 were in the area of community service, 235 were continuing education projects and 9 were resource sharing projects. Participating in these projects were 674 institutions of higher learning, more than a third of which were two-year colleges. A total of 301,571 people were served by these projects. No formal evaluation has been made of these 602 projects. Another estimated 19,822,049 were served by mass media. Estimates were based upon program data.

The program allows State agencies a wide diversity in choice of activities to be funded. Because of this, a clear definition of a single set of specific measurable program goals is not possible. However, the number and kinds of projects funded certainly indicate that diversity has been achieved. The 602 State grant projects addressed problems/needs in 21 problem areas. The largest group, 11 percent of the total, addressed problems of the aging. Another 10 percent addressed problems related to women. At the lower end of the scale two percent of the projects addressed problems of housing, two percent addressed problems of crime/law enforcement and two percent land use.

Some assessment data are available on the Special Projects program. Fifty awards were made in this program in the years 1974-78. Target populations for these projects have included women re-entering work and education, the elderly, prison inmates, local government officials, and the handicapped. Those projects that have been completed have had measurable influence on the expansion and improvement of continuing education. For example, a model pre-retirement program designed by the University of California is now being used, as is an evaluation instrument also developed by the project, by a number of institutions and corporations in the United States and Canada. Project MID-NET at the University of Texas at Arlington adapted existing State programs for local government officials for widespread use at minimum cost in small towns throughout the midwest and southwest. The National Center for Law and the Deaf, jointly sponsored by Gallaudet College and the National Law Center at George Washington University, provided, for the first time, legal services, legal education, and legal advocacy for hearing impaired people. Among its many accomplishments are the establishment of additional centers in California and Pennsylvania, the offering of nationwide legal education workshops, and the establishment of a separately incorporated Legal Defense Fund.

In FY 1978 the appropriations exceeded $14.5 million and thus allowed funding for technical assistance for the first time. A number of activities took place.

In addition to the $269,918 contract with Far West Laboratory to plan and develop a technical assistance network, FY 1978 funds supported two series of workshops for State and institutional personnel. In May of 1978 University Consultants Inc. planned and led four workshops for State Title I Administrators and Planning Officers on State Higher Education Agencies. The workshops concentrated on developing and improving the skills needed in planning and evaluating State and local programs of continuing education. They were held in Boston, Massachusetts; Athens, Georgia; Lincoln, Nebraska; and Los Angeles, California.

A contract with the National University Extension Association underwrote four workshops in January, 1979. The participants were Deans and Directors of Continuing Education at small to medium sized colleges and universities. The workshops were designed to assist them in developing functional and realistic institutional plans and evaluation strategies relating to continuing education. The sites included Portland, Oregon; Rochester, New York; Oxford, Mississippi; and Minneapolis, Minnesota.

Ongoing and Planned Evaluation Studies:

An exploratory evaluation study will be proposed for FY 1981 in which greater attention will be given to classifying operations, program goals, and outputs. This will be especially timely as reauthorization of the Higher Education Amendments will be completed by that time.

Sources of Evaluation Data:

Program files, Bureau of Higher and Continuing Education.

For further information about program operations,

Contact: Charles Griffith, 245-2671

For further information about studies of program effectiveness,

Contact: Ann Hershner, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Postsecondary Education Eligibility
and Agency Evaluation

Legislation:	Expiration Date:
Accreditation: Education Amendments of 1952 (Public Law 82-550), subsequent legislation.	N/A
Eligibility: Higher Education Act of 1965, as amended including Public Law 94-482.	

Funding History: N/A

Program Goals and Objectives:

The Division of Eligibility and Agency Evaluation (DEAE) and the U.S. Commissioner of Education's Advisory Committee on Accreditation and Institutional Eligibility (ACAIE) function to "orchestrate" a system of determining initial eligibility for postsecondary educational institutions to participate in Federal student and institutional assistance programs.

Program Operations:

Initial eligibility is granted to postsecondary institutions and programs which meet certain statutory and other prerequisites, including: (a) State licensing or chartering, (b) accreditation by private non-governmental accrediting bodies or State agencies recognized by the U.S. Commissioner of Education; and (c) compliance with Federal non-discrimination guidelines. ACAIE/DEAE formulate and publish accrediting criteria for recognition with which State/private accrediting bodies must comply for recognition. Only those State/private accrediting bodies with approved procedures and jurisdictions may qualify in the sense that their "accreditation" functions as an aspect of institutional eligibility for Federal funds. ACAIE/DEAE conduct periodic reviews of the accrediting bodies' policies related to the U.S. Office of Education's published criteria for renewal of recognition.

Program Scope:

As of December 31, 1978, ACAIE/DEAE have through the "tripartite" institutional eligibility process--private accrediting associations, State approval and licensing agencies, and the Federal government:

(a) recognized 74 private accrediting associations;
(b) recognized 12 State approval agencies;
(c) certified for Federal eligibility 8,814 postsecondary institutions; and
(d) recognized 8 State nursing boards.

Program Effectiveness and Progress:

In June 1972, the Office of Education contracted with the Brookings Institution, and later with the National Academy of Public Administration, to conduct a study on the use of accreditation for eligibility purposes.

Completed in 1974, "Private Accreditation and Public Eligibility Study" by Dr. Harold Orlans, et al., recommended, among other findings, that:

(1) The Office of Education institute a program to improve the training of State education staffs to gain their cooperation in enforcing Federal eligibility conditions and to promote a fuller and more prompt exchange of information about postsecondary schools;

(2) Federally guaranteed student loan borrowers be protected in the event of school closure;

(3) Colleges as well as proprietary schools be required to notify students about their tuition refund policy; and

(4) Information about changes in the eligibility of postsecondary schools for Federal and State programs, Federal Trade Commission cease and desist orders, restrictions imposed by the courts or State officials and accrediting agency actions be more promptly and widely circulated.

Moreover, the report strongly recommended that a study be made to ascertain the number, proportion, and kinds of degree-granting and non-degree-granting schools which engage in specified malpractices, such as deceptive advertising and recruiting and inequitable refunds. Additionally, the "Private Accreditation and Public Eligibility Study", played a significant role in assisting the Office of Education to have Congress include new statutory program eligibility language in the Education Amendments of 1976.

Subsequently, in July 1975, the Office of Education contracted with the American Institutes for Research (AIR) to develop and field test a degree and non-degree-granting institutional informational system which would provide accurate and timely information on their student consumer practices.

The study "Improving the Consumer Protection Function in Postsecondary Education", has been completed. In part, the report concluded that:

(a) The categories, examples, and indicators of potentially abusive institutional conditions and practices produced by this project should be brought to the attention of the chief administrative officer of every institution which gains eligibility to participate in Federal student assistance programs;

(b) The information dissemination called for above should be followed by an assessment of the information's impact on institutional self-study and self-improvement;

(c) An information system should be established for sharing and disseminating State-agency produced Institutional Report Forms (IRF) scores for institutions which operate across State lines;

(d) USOE-recognized accreditation agencies should continue to urge an increased awareness of student consumer protection on their member institutions as an integral part of the accreditation process;

(e) The "continuous review (of) the criteria for determination of, or termination of eligibility for institutional participation in USOE-administered financial aid programs, and...appropriate recommendations for change" recently recommended by USOE's Task Force on Implementing Educational Consumer Protection Strategies should include consideration of minimum consumer protection standards based upon preventing the types of abuses listed in the report.

Additionally, the study developed a student guide entitled Safeguarding Your Education: A Student's Guide to College and Occupational Education, which was based upon the 14 different types of consumer abuses; it is now being commercially produced under copyright for national dissemination.

Authorization by State agencies is a prerequisite for institutions seeking to participate in Federal programs, since the States have the major constitutional responsibility for the governance of postsecondary institutions within their boundaries. With the States, therefore, having the major burden of consumer protection in postsecondary education, a study was needed to assess the degree to which postsecondary state oversight agencies provide student consumer protection by preventing or correcting abusive and potentially abusive institutional policies, practices, and conditions. Additionally, the study included (1) an in-depth profile of strengths and weaknesses of the State laws and enforcement resources, and (2) specific suggestions for strategies which could be used by the USOE to help State agencies require stronger laws and augment their enforcement resources.

The American Institutes for Research recently completed (December 1977) "A Study of State Oversight in Postsecondary Education." The study found that State authorizing/oversight requirements are relatively much more extensive for private non-degree-granting institutions, less extensive for private degree-granting institutions, and almost non-existent for public institutions. The report concluded that

- stronger laws and regulations are needed, especially to (1) eliminate provisions that now exclude accredited institutions from State agency oversight, (2) provide stronger bonding or tuition-indemnification requirements, (3) provide and publicize statewide complaint-handling systems, and (4) improve the coordination and communications among the agencies that have various oversight responsibilities within each State; and
- better communications and coordination are needed among licensing agencies in all States, especially in the degree-granting sector, to deal with problems created by institutions that operate across State lines.

Significant barriers now exist to improved consumer practices due to:

- unwillingness of legislatures to make adequate appropriations for school oversight, due to a lack of understanding of the nature of the problem and general reluctance to approve funds for any form of State regulation;
- strong and effective opposition by schools and accreditation bodies to increased levels of State agency oversight;
- lack of agreement and cooperation among State education agencies about which agency should perform what functions; and
- reluctance of law enforcement agencies and attorneys general to take strong action against educational institutions.

The contractor recommended that the Office of Education provide more effective internal audits and controls over the Federal student aid programs. Also USOE should provide:

- a communications and clearinghouse mechanism for the States, to allow State agency officials to better share information on their enforcement actions concerning schools that operate in more than one State, to achieve more consistent standards and, consequently, more reciprocity agreements for licensing, and to learn from each other's successes and failures;
- provide workshops and technical assistance, including legal experts and research studies, that will allow State agency officials to acquire new knowledge, skills, and techniques for oversight.
- provide some Federal operating funds, possibly on a matching basis, for supporting better State agency oversight if the oversight is to play a role in the eligibility of institutions for Federal programs;
- exercise stronger controls over accreditation agencies that seek to become recognized by USOE, especially to prevent them from accrediting unevaluated branch campus and off-campus programs.

In July 1978, the report on the study of State oversight was the basic working document for an invitational conference sponsored by the U.S. Office of Education and the Education Commission of the States. Conference participants were representatives from State authorizing and oversight agencies, legislators, governors' education aides, attorneys general, chief State school officers, congressional aides, and Federal agency staff.

The General Accounting Office recently released (January 17, 1979), its report on the assurance provided by OE's eligibility process. The major recommendations of the report were:

- GAO recommended that OE develop the capability to provide technical assistance and leadership to States to upgrade their postsecondary institution authorization and monitoring processes. The GAO also recommended that OE propose legislation to the Congress to provide adequate financial support to the States to improve the State authorization process.
- Provisions regarding the limiting, suspending, and termination actions against schools which mis-represent the nature of their programs, charges, or their graduates be implemented.

- o The Commissioner of Education issue regulations for schools applying for eligibility for OE financial assistance programs which provide for certain admission policies, provision of student completion and employment information, and fair and equitable refund policies.

Ongoing and Planned Evaluation Studies:

A study has been designed and contracted to evaluate the USOE Criteria and Procedures for the Recognition of Accrediting and State Approval Agencies. Work is being conducted by the Educational Testing Service and will be completed in late 1979. The study will focus on the assessment of the validity and reliability of the USOE criteria used for all agencies applying for recognition by the U.S. Commissioner of Education.

Sources of Evaluation Data:

Program files, Bureau of Higher and Continuing Education/DEAE

Orlans, Harold, et al., Improving the Consumer Protection Function in Postsecondary Education, American Institutes for Research, Palo Alto, California, December 1976.

Jung, Steven M., et al., A Study of State Oversight in Postsecondary Education, American Institutes for Research, Palo Alto, California, December 1977.

Comptroller General, What Assurance does Office of Education's Eligibility Process Provide?, HRD-78-120, U.S. General Accounting Office, Washington, D.C., January 17, 1979.

For further information about program operations,

Contact: Larry Friedrich, 245-2810

For further information about studies of program effectiveness,

Contact: Robert Berls, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Language Training and Area Studies

Legislation:

National Defense Education Act of 1958 Title VI; Public Law 85-864; as amended by Public Law 87-344; as amended by Public Law 88-210; as amended by Public Law 88-665; as amended by Public Law 89-698; as amended by Public Law 90-575; as amended by Public Law 92-318; as amended by Public Law 94-482; as amended by Public Law 95-43, as amended by Public Law 94-482; extended by Public Law 96-49.

Expiration Date:

September 30, 1980

Funding History:

Year	Authorization	Appropriation
1959	$ 8,000,000	$ 3,416,000
1960	8,000,000	7,300,000
1961	8,000,000	6,554,000
1962	8,000,000	8,000,000
1963	8,000,000	7,970,000
1964	8,000,000	8,000,000
1965	13,000,000	13,000,000
1966	14,000,000	14,000,000
1967	16,000,000	15,800,000
1968	18,000,000	15,700,000
1969	16,050,000	15,450,000
1970	30,000,000	13,002,000
1971	38,500,000	7,170,000
1972	38,500,000	13,940,000
1973	50,000,000	12,500,000
1974	75,000,000	11,333,000
1975	75,000,000	11,300,000
1976	75,000,000	13,300,000
1977	75,000,000	14,650,000
1978	75,000,000	15,000,000
1979	75,000,000	17,000,000
1980	75,000,000	17,000,000 (est.)

Program Goals and Objectives:

Programs for foreign language and area studies funded under Sections 601 and 602 of this appropriation have four major purposes: (1) increase the nation's manpower pool of trained specialists in foreign language, area studies, and world affairs; (2) provide in-service training to upgrade and update the professional knowledge and skills of existing specialists in foreign language, area studies, and world affairs; (3) produce new knowledge about other nations and cultures, particularly those of the non-western world, through research and development; and (4) develop improved curricula and effective instructional materials in foreign languages, area studies, and world affairs needed by education, government, and business. In 1979, funds became available for the first time to implement the new Section 603 of Title VI, NDEA, which was added to the legislation in 1976. Its purpose is to increase the understanding and awareness of United States citizens and students about the actions and cultures of other nations.

Sections 601 and 602 of the National Defense Education Act, Title VI, authorizes the award of grants and contracts to U.S. educational institutions, organizations, and individuals for activities conducted primarily in the United States. Program assistance includes institutional development, fellowship support, and research in foreign language, area studies, world affairs, and intercultural understanding. Section 603 authorizes the award of grants and contracts to any agency or organization to stimulate locally designed programs. Funds may be awarded to support in-service training of teachers and other educational personnel, compilation of existing information and resources, and dissemination.

Program Operations:

Sections 601 and 602:

(a) The Secretary is authorized to make grants to or contracts with institutions of higher education for the purposes of establishing, equipping, and operating graduate and undergraduate centers and programs for the teaching of modern foreign languages, for instruction in other fields needed to provide a full understanding of the areas, regions, or countries in which such language is commonly used, or for research and training in international studies and the international aspects of professional and other fields of study. Any such grant or contract may cover all or part of the cost of the establishment or operation of a center or program, including the costs of faculty, staff, and student travel in foreign areas, regions, or countries, and the costs of travel of foreign scholars to teach or conduct research, and shall be made on such conditions as the Secretary finds necessary to carry out the purposes of this section.

(b) The Secretary is also authorized to pay stipends to individuals undergoing advanced training in any center or under any program receiving Federal financial assistance under this title, including allowances for dependents and for travel for research and study here and abroad, but only upon reasonable assurance that the recipients of such stipends will, on completion of their training, be available for teaching service in an institution of higher education or elementary or secondary school, or such other service of a public nature as may be permitted in the regulations of the Secretary.

(c) No funds may be expended under this title for undergraduate travel except in accordance with rules prescribed by the Secretary setting forth policies and procedures to assure that Federal funds made available for such travel are expended as part of a formal program of supervised study.

(d) The Commissioner is authorized, directly or by contract, to make studies and surveys to determine the need for increased or improved instruction in modern foreign languages and other fields needed to provide a full understanding of the areas, regions or countries in which such languages are commonly used, to conduct research on more effective methods of teaching such languages and in such other fields, and to develop specialized materials for use in such training, or in training teachers of such languages or in such fields.

Section 603:

The Commissioner may award grants and contracts to stimulate locally designed educational programs to increase the availability to students and the general public in the U.S. of information about the cultures, actions, and policies of other nations so that they might make more informed judgments with respect to the international policies and actions of the United States. Funds may not be used for the development of new curriculum or the acquisition of equipment or remodeling of facilities.

Program Scope:

Recent studies of foreign language and area studies programs in the U.S. reveal the growth in the development of non-western studies since enactment of the NDEA in 1958. Whereas in 1958 some 37 "uncommonly taught" languages were offered in U.S. universities, in 1977 approximately 100 modern foreign languages were taught at NDEA centers; a 1970 survey of foreign language enrollments reveals that while higher education registrations in most of the foreign languages traditionally taught in American higher education have been in a distinct downward trend since 1968, student enrollments in Italian, Spanish, and in over 100 of the less commonly taught languages taken collectively have increased significantly--by 12.8%, 6.7%, and 39.4% respectively.

While enrollments in the uncommonly taught languages are increasing, total enrollments in these languages remain small. For example, in 1970 there were only 5,319 undergraduate and 796 graduate students studying Chinese. By 1974-75 enrollments had increased to 9,468 undergraduate and 1,108 graduate.

Since the initiation of the NDEA, the section 602 Language and Area Studies Research program awarded some 706 contracts and 22 grants to educational institutions, professional organizations, and individuals, which resulted (by May 1978) in the completion of some 850 major reports on surveys and studies and instructional materials for language and area studies, as well as some 500 related publications. Items completed prior to November 1976 are listed in a cumulative bibliography produced by the program, List No. 8: NDEA Foreign Language, Area, and Other International Studies.

The NDEA foreign language training and area studies program provides a means for correcting existing disciplinary and geographic imbalances, broadening the scope of areas training, and improving and maintaining language skills.

In Fiscal Year 1979 the average cost of a combined graduate/undergraduate center is expected to be $94,600, while the average undergraduate center cost will be about $55,000. Total population served by the 85 centers is approximately 300,000. The average cost per fellowship will be $5,959 and the average research project costs about $42,175. The average cost of the 13 exemplary graduate projects will be $40,350 and the 26 undergraduate projects average cost will be $35,000.

The Fiscal Year 1979 appropriation for NDEA VI funded an estimated 85 centers, 26 undergraduate and 13 graduate exemplary programs, 765 graduate fellowships, and 23 research projects.

The new program launched in FY 1979 under Section 603 supported approximately 39 awards at an average cost of $51,300 each.

Program Effectiveness and Progress:

A review of foreign language and area studies programs in the U.S. (based on a sample of 13,000 foreign language and area studies specialists, of whom about 10,000 are college or university faculty members) has provided data on the impact of the NDEA program. A sampling of previous holders of NDEA VI fellowships showed that almost all (89.1%) of the fellows used their foreign area training in their first job. Of the Ph.D. graduates, 99% were employed as language and world area specialists. The survey also indicates that the existing pool of specialists needs more focused development in certain aspects in order to achieve an upgrading of language skills. Of the world area specialists surveyed, only 25% reported that they can easily speak, read, and write a language of their area. A major factor in acquiring and maintaining proficiency in foreign languages is the opportunity to utilize the language in a country where it is in regular use.

Studies on international and intercultural education and new curricula and instructional materials are intended for use in schools and colleges throughout the U.S. The impact of this program is suggested by a materials utilization survey which provides specific data on instructional materials for 50 different languages in 82 foreign language and area studies programs. Results of the survey show, for example, that of 24 respondent institutions engaged in teaching Chinese, 21, or 88 percent, were using materials produced under National Defense Education Title VI support; of 17 programs offering instruction in Hindi, 100 percent were using National Defense Education materials; and 6 out of 7 Arabic programs similarly reported utilization of National Defense Education Act-supported materials.

With Section 602 research appropriations, the following surveys of language study in the U.S. are being conducted:

> An Inventory of Soviet and East European Studies in the U.S., conducted by the American Association for the Advancement of Slavic Studies;
>
> A Survey of Foreign Language Enrollments in Secondary Schools, in the Fall of 1977 (a biannual survey conducted by the American Council on the Teaching of Foreign Languages);
>
> A Survey of Foreign Language Enrollments in Colleges and Universities, in the Fall of 1977 (a bi-annual survey conducted by the Modern Language Association);
>
> A National Survey of Foreign Language Teaching in Elementary and Secondary Schools (in particular, teacher supply and demand), carried out by the American Council on the Teaching of Foreign Languages;
>
> An Assessment of the State of the Art: Chinese language study in the U.S., to be conducted by the Center for Applied Linguistics.

The Comptroller General recently reported to the Congress on the study of foreign languages and related areas. The report notes that recipients of Title VI program funds believe the Federal program administration to be fair and effective, and that the Federal program managers have made important improvements in the programs in the past several years.

Priorities for determining language and area studies grants are still being made using data derived from the late 1960's and early 1970's. While the report observes that determination of national needs in foreign language and area studies is difficult to do, it is unknown whether the greatest national needs are being met.

The Comptroller General's report concluded that additional administrative improvements are needed. Recommendations were made to:

> Visit at least once every two years each of the 80 centers at institutions of higher education receiving Title VI grants.

Prepare and distribute to center officials and other appropriate parties a biannual report containing helpful "lessons learned" as gleaned from the reports submitted by each center to the Office of Education and visits to centers by staff members of the Office.

Provide feedback reports to the centers at least once a year on their reports to the Office of Education.

Develop a system to evaluate the effectiveness of the program providing starter grants to new international studies projects.

Ongoing and Planned Evaluation Studies:

Evaluation of the Foreign Language Training and Area Studies Program, Rand Corporation, Santa Monica, California. The evaluation began on October 1, 1979 and is scheduled for completion at the end of 1981. The study seeks to improve the program's objectives and procedures and to provide a means to better allocate program funds by world areas and languages.

Sources of Evaluation Data:

Language and Area Studies Review, Richard D. Lambert (published in August 1973 by the American Academy of Political and Social Science and the Social Science Research Council).

International Studies and the Social Sciences: A Survey of the Status of International/Comparative Studies and Recommendations Concerning National Needs and Priorities, James N. Rosenau (Minneapolis, Minnesota: International Studies Association, June 1971).

1970 Census of International Programs in State Colleges and Universities, American Association of State Colleges and Universities (Washington, D. C.: AASCU Studies 1971/3, August 1971).

Materials Development Needs in the Uncommonly-Taught Languages. Priorities for the Seventies. (A report of a conference held in Columbia, Md., in October 1974, published by the Center for Applied Linguistics, 1975).

A Survey of Materials for the Study of the Uncommonly-Taught Languages (in eight fascicles, one for each of the major geographical world areas), published by the Center for Applied Linguistics, 1976.

Western European Studies in the United States. (Stephen Blank, Council for European Studies, University of Pittsburgh, 1975).

International and Intercultural Education in Selected State Colleges and Universities: An Overview and Five Cases. (Audrey W. Gray, American Association of State Colleges and Universities, 1977).

CULCON Report on Japanese Studies at Colleges and Universities in the United States in the Mid-70's. (E. T. Massey and J. A. Massey, American Panel Secretariat: Japan Society, Inc., 1977).

Comptroller General of the U.S., Study of Foreign Languages and Related Areas: Federal Support, Administration, Need. September 13, 1978, Washington, D. C.

Program Data.

For further information about program operations,

Contact: Ed Meador, 245-9691

For further information about studies of program effectiveness,

Contact: Robert Berls, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Fulbright-Hays Act

Legislation:	Expiration Date:
Mutual Educational and Cultural Exchange Act of 1961. Section 102(b)(6); Public Law 87-256; as amended by Public Law 87-565; as amended by Public Law 89-698.	None

Funding History:

Year	Authorization	Appropriation
1964	1/	$1,500,000
1965		1,500,000
1966		2,000,000
1967		3,000,000
1968		3,000,000
1969		3,000,000
1970		2,430,000
1971		830,000
1972		1,323,000
1973		1,360,000
1974		1,360,000
1975		2,700,000
1976		2,700,000
1977		3,000,000
1978		3,000,000
1979		3,000,000
1980		3,000,000 (est.)

Program Goals and Objectives:

The purpose of this program is to promote and strengthen the capability of American education in those modern foreign languages, area studies and global issues where there is greatest need to improve American understanding by supporting group projects and fellowships in foreign countries for teachers and prospective teachers of United States schools, colleges, and universities to improve their skill in languages and increase their knowledge of the culture of these countries. The program also supports visits by foreign educators to the United States to improve foreign language training and international and intercultural education in United States schools, colleges, and universities.

1/ Indefinite, does not have specific money authorization.

Program Operations:

Programs funded under Section 102(b)(6) of the Fulbright-Hays Act provide opportunities to individuals for first-hand experiences in the locales of their respective specialization areas. Specifically, faculty and doctoral dissertation research fellowships are provided for updating and extending research knowledge, and maintaining and improving language skills. The program also supports group projects abroad for research and training, and curriculum consultant services of foreign educators to improve foreign languages, area studies and intercultural education in U.S. schools and colleges.

Programs for foreign language and area studies funded under this appropriation have four major purposes: (1) increase the Nation's manpower pool of trained specialists in foreign language and area studies, (2) provide inservice training to upgrade and update the professional knowledge and skills of existing specialists in foreign languages, and area studies, (3) produce new knowledge about other nations and cultures, particularly those of the non-western world; and (4) develop curricula and instructional materials in foreign language and area studies needed by education, government, and business.

Program Scope:

The Fiscal Year 1979 appropriation of $3 million for this program will support 98 doctoral dissertation research fellowships, 15 group projects abroad, 15 foreign curriculum consultant grants and 45 faculty research fellowships. Four to seven special bilateral projects with Israel, Italy, and the Peoples' Republic of China will also be funded.

Program Effectiveness and Progress:

A recent review of foreign language and area studies programs in the U.S. demonstrated that adequate opportunities for research and study abroad are critical to improving the quality of foreign area specialists' training. Over 85 percent of the specialists included in the survey reported a need to increase opportunities for studying language in its natural setting. While in absolute terms there has been substantial growth in the numbers of specialists with some overseas experience, the survey reveals that on the average the depth of experience abroad is inadequate. Furthermore, although as a group the specialists have had experience in a wide range of countries, the research of a majority of the specialists has been clustered in a small number of countries. In brief, a few countries are overstudied, relatively speaking, while a large number are understudied. 1/

The Fulbright-Hays programs therefore provide a resource for training specialists in areas of greatest need and for helping improve the caliber of training in language and area studies through research and study abroad.

1/ Language and Area Studies Review. Richard D. Lambert (published in August 1973 by the American Academy of Political and Social Science and the Social Science Research Council).

World-wide inflation and devaluation of the dollar have received considerable popular attention in the last ten years. For most Office of Education programs such international price movements have only had an indirect impact. However, the Fulbright-Hays program is directly and significantly affected by changes in exchange rates and international prices.

A recent study analyzed changes in exchange rates, international prices and purchasing power of U.S. dollars. The data show that exchange rates, or the cost of foreign currencies, actually decreased by 2.7 percent during 1971-77. However, price levels abroad increased by 98.6 percent during the same period. The combined effect of these two factors was an 82.7 percent increase in the cost of operations abroad. This is equivalent to a 10.5 percent rate of inflation in foreign prices compared with the 6.7 percent domestic inflation.

An examination of appropriations for the Fulbright-Hays program indicates that Fiscal Year 1977 appropriations would purchase only 82.5 percent as much as Fiscal Year 1974 appropriations. The data indicate that a Fiscal Year 1979 appropriation of at least $4,000,000 would have been necessary in order to fund operations at the Fiscal Year 1974 level. 2/

Ongoing and Planned Evaluation Studies:

An exploratory evaluation of this program is planned for FY 1980.

Sources of Evaluation Data:

Program Data. Information collected in other reports listed under Title VI of the National Defense Education Act is also relevant for the Fulbright-Hays Program.

Language and Area Studies Review, Richard D. Lambert, (published in August 1973 by the American Academy of Political and Social Science and the Social Science Research Council).

Changes in Purchasing Power of International Education Appropriations, Technical Paper, Office of Planning, Budgeting, and Evaluation, U.S. Office of Education, September 1978.

For further information about program operations,

Contact: Edward Meador, 245-9691

For further information about studies of program effectiveness,

Contact: Robert Berls, 245-8130

2/ Changes in Purchasing Power of International Education Appropriations, Technical Paper, Office of Planning, Budgeting, and Evaluation U.S. Office of Education, September 1978.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Ethnic Heritage Studies Program

Legislation:

Elementary and Secondary Education Act of 1965, Title IX, Part E, as amended under Public Law 92-318, Public Law 93-380, and Public Law 95-561.

Expiration Date:

September 30, 1984

Funding History:	Year	Authorization	Appropriation
	1974	$15,000,000	$2,375,000
	1975	15,000,000	1,800,000
	1976	15,000,000	1,800,000
	1977	15,000,000	2,300,000
	1978	15,000,000	2,300,000
	1979	15,000,000	2,000,000
	1980	15,000,000	3,000,000 (est.)

Program Goals and Objectives:

This program provides opportunities for students to learn about their own cultural heritage and to study the cultural heritages of the other ethnic groups in the Nation. The purpose is to recognize the contributions of ethnic groups to American society, encourage mutual understanding, cooperation, and ethnic cultures, and reduce social divisiveness.

Each program assisted under this title shall--

(1) develop curriculum materials for use in elementary or secondary schools or institutions of higher education relating to the history, geography, society, economy, literature, art, music, drama, language, and general culture of the group or groups with which the program is concerned, and the contributions of that ethnic group or groups to the American Heritage; or

(2) disseminate curriculum materials to permit their use in elementary or secondary schools or institutions of higher education throughout the Nation; or

(3) provide training for persons using, or preparing to use, curriculum materials developed under this title; and

(4) cooperate with persons and organizations with a special interest in the ethnic group or groups with which the program is concerned to assist them in promoting, encouraging, developing, or producing programs or other activities which relate to the history, culture, or tradition of that ethnic group or groups.

Program Operations:

The program authorizes grants to public and private nonprofit educational agencies, institutions, and organizations to assist them in planning, developing, and operating ethnic heritage studies programs.

Programs which are proposed for funding must be planned and carried out in consultation with an advisory committee that is representative of the ethnic group or groups with which the program is concerned. Project activities include curriculum material development, training, dissemination of materials, and cooperation with ethnic groups in the community served by each project. Emphasis will be placed on multi-ethnic endeavors that draw upon the cultural pluralism of the community.

In carrying out this title, the Commissioner makes arrangements which utilize (1) the research facilities and personnel of institutions of higher education, (2) the special knowledge of ethnic groups in local communities and of foreign students pursuing their education in this country, (3) the expertise of teachers in elementary and secondary schools and institutions of higher education, and (4) the talents and experience of any other groups, such as foundations, civic groups, and fraternal organizations, which would further the goals of the programs.

Funds appropriated to carry out this title may be used to cover all or part of the cost of establishing and carrying out the programs, including the cost of research materials and resources, ethnic group and academic consultants, and training educational and community resource persons for the purpose of carrying out the purposes of this title. Such funds may also be used to provide stipends (in such amounts as may be determined in accordance with regulations of the Commissioner) to individuals receiving training as part of such programs, including allowances for dependents.

In FY 1974, 42 projects were funded with an average award of $56,000. During FY 1975, 49 grants averaging $39,000 were made in support of programs in 32 States and the District of Columbia. During FY 1976, 49 grants averaging $37,000 were funded in 32 States, the District of Columbia, and the Trust Territory of the Pacific Islands. In FY 1977, 64 grants averaging $36,000 were funded in 36 States, the District of Columbia, Virgin Islands, and Puerto Rico. In FY 1978, 56 grants averaging $40,000 were awarded in 28 States, the District of Columbia, and American Samoa. In FY 1979 it is anticipated that about 40 grants will go to 23 States and territories and average $50,000.

Program Effectiveness and Progress:

Each project contains a self-assessment in terms of constant review and professional criticism, as well as feedback from teachers and students and members of the community's ethnic groups.

1979 Workload Data (pending final grant negotiations)

Total Program allocation	$2,000,000
Number of awards	44
Average award	$ 45,454
Ethnic groups served--	
by project with single ethnic focus	20
by project with multi-ethnic focus	24

Maxi grant dollar total	$2,281,276
Number of awards	42
Average award	$ 54,313
For training:	
Dollar total	$ 431,149
Number of awards	8
Average award	$ 53,893
For curriculum development:	
Dollar total	$ 854,091
Number of awards	16
Average award	$ 53,380
For dissemination:	
Dollar total	$ 60,584
Number of awards	1
Average award	$ 60,584
For training and curriculum development:	
Dollar total	$ 150,569
Number of awards	3
Average award	$ 50,189
For training and dissemination:	
Dollar total	$ 198,987
Number of awards	4
Average award	$ 49,746
For training, curriculum development and dissemination:	
Dollar total	$ 377,964
Number of awards	7
Average award	$ 53,995
For curriculum development and dissemination:	
Dollar total	$ 160,343
Number of awards	3
Average award	$ 53,447

Mini grant dollar total	$29,654
Number of awards	2
Average award	$14,827
For training:	
Dollar total	$14,942
Number of awards	1
For curriculum development:	None
For dissemination:	None
For training and curriculum development:	None
For training and dissemination:	None
For training, curriculum development and dissemination:	
Dollar total	$14,712
Number of awards	1
For curriculum development and dissemination:	None

With more states requiring the teaching of ethnic studies in the schools, there are indications of wider acceptances of ethnic programs, particularly in the concentrated multi-ethnic areas of the country. California, Illinois, Ohio, Pennsylvania, New York, and Michigan are requiring multicultural or ethnic heritage studies statewide. By 1979, at least 34 States already have provisions supporting multicultural education in some aspects.

The present program has increased its emphasis on training and a major portion of financial support is in this area. With the advent of training as a major consideration, the materials already developed under the Title IX Ethnic Heritage Studies program will receive wider dissemination and utilization.

Teachers in a great number of localities throughout the country are using materials which are produced from approximately 300 projects. Such programs as the following: (1) "Ethnic Education for Future and Present Public Administrators" at the State University at Binghamton; (2) "Appreciation of Ethnic Pluralism in Education for Social Work" at Catholic University; (3) "Program Development for Public Service Ethnic Affiliate Associations" at the John Jay College of Criminal Justice, have added a new dimension in the study of ethnicity. Also, pre-school and childhood education have received more attention. A dissemination program "Ethnic Heritage Studies Clearinghouse" at the Social Science Education Consortium of Boulder, Colorado will attempt to reach more schools. Among the outstanding training awards during the past 3 years is an interesting project entitled "Leadership Training Institutes in Multi-ethnic Studies for Teacher Education" undertaken by the American Association of Colleges for Teacher Education and a program directed by the National School Boards Association entitled "Ethnic Heritage School Board Training Project."

Experimental ethnic theater is used in the study of ethnicity for younger students with such programs as "Ethnic Theater: Springboard for a Multi-ethnic Curriculum," "Teacher Training Module for Implementing Multi-ethnic Social Studies in Elementary Schools," and "Curriculum Improvement and Teacher Training for Community Ethnic Language and Culture Schools."

Other users of Title IX EHS curriculum materials include regional resource centers, State bicentennial commissions, State historical societies, education associations, libraries and museums, and theater groups.

Ongoing and Planned Evaluation Studies:

None.

Sources of Evaluation Data:

Program information and project reports.

Assessment of the First Year of the Ethnic Heritage Studies Program, a report published in 1977 and prepared under a Title IX Elementary and Secondary Education Act Grant awarded by the Ethnic Heritage Studies Branch of the U.S. Office of Education to the National Education Association in 1976.

For further information about program operations,

Contact: Tom Fagan, 472-4594

For further information about studies of program effectiveness,

Contact: Robert Berls, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Graduate/Professional Educational Opportunities Program

Legislation:	Expiration Date:
Public Law 89-329 Higher Education Act of 1965 (as amended by Public Law 92-318), Title IX, Parts A and B; extended by Public Law 96-49.	September 30, 1980

Funding History: Year	Authorization 1/	Appropriation
	Part A	Parts A and B
1978	$50,000,000	$3,250,000
1979	50,000,000	8,000,000
1980	50,000,000	8,850,000 (est.)

Program Goals and Objectives:

The overall goal of this program is to provide needed opportunities for qualified students, particularly minorities and women who are underrepresented in the professions and many graduate fields, to receive the education necessary for entering the highest levels of professions, industries, government and colleges. There are two parts to the program. The objective of Part A which authorizes grants to institutions of higher education is to strengthen and improve graduate and professional programs leading to advanced degrees (other than medical degrees). Under Part A, grants may also be made to strengthen undergraduate programs when the Commissioner determines that strengthened undergraduate programs will contribute to the purposes of Title IX-A. The goal of Part B which authorizes the award of fellowships for graduate and professional students is to assist qualified students in obtaining the advanced training needed for careers in professional fields and fields where the doctorate degree is a requirement.

Program Operations:

Graduate/Professional Educational Opportunities Program awards are made on a competitive basis. Applications are sent to all institutions which have graduate and professional programs inviting them to apply for institutional and/or fellowship grants. Institutions receiving fellowship grants recommend to the Commissioner qualified students who plan to obtain a doctorate or professional degree. College graduates apply for fellowships by applying to institutions which have been awarded fellowship

---

1/ In addition to these authorizations for Part A, the Commissioner is authorized to appropriate such sums as may be necessary for up to 7,500 fellowships.

grants. For FY 1979 and prior years, each fellow's stipend was $3,900 per 12 month period. In FY 1980, the fellow's stipend will be increased to $4,500. An institutional allowance of $3,900 per year is provided for each fellow enrolled in the program. Fellows must be full-time students and ordinarily cannot have their fellowships renewed beyond a 36-month time period.

No set amount is allocated for institutional grants, though they are only awarded to institutions for programs which also receive fellowships. Grants may be used for faculty improvement; development, expansion, and strengthening of graduate and professional programs of study; acquisition of instructional equipment and materials; cooperative arrangements among graduate and professional schools; needed innovation in graduate and professional programs; and recruitment, retention, and counseling and career placement activities.

There are a number of limitations on the use of grant funds. They are awarded to strengthen only graduate and professional programs for which the institution receives fellowships. They may not be used for construction or renovation of buildings or the cost of leasing space. They may not be used for sectarian instruction or religious worship. They may not be used to finance more than two-thirds the cost of the project or activity described in the institution's application. They may not be used to finance more than one-half the cost of the purchase or rental of books, audiovisual aids, and scientific apparatus. Finally they may not be used for fellowship assistance to students.

Program Scope:

The first grants were awarded in Fiscal Year 1978. Fifty-five colleges and universities received approximately $3.2 million. Part of that sum, $2,761,200, provided fellowship assistance for 354 students from groups traditionally underrepresented in graduate and professional studies. The remainder, $485,340, funded grants to 26 colleges and universities to finance special recruitment, orientation, and retention programs for the new fellows.

For the academic year 1979-80, approximately 516 new and 315 continuing fellowships totalling $6,885,719 will be made. Approximately 50 institutional grants totalling $1,114,281 will be made.

Program Effectiveness and Progress:

Since this program has just been funded for academic year 1978-79, it is too soon to determine its overall effectiveness. Data on the first year recipients (see table for more detailed information) suggests the program is well targeted on fellowship recipients with 55 percent female, 45 percent Black, 17 percent Hispanic, 8 percent Asian-American and 4 percent Native American. However, evidence on program success can in the final analysis only be judged by the success of its graduates in the academic market place. Further studies will focus upon this question.

Distribution of Fellowships - Graduate and Professional Opportunities Program (Academic Year 1979-80)

	FEMALE					MALE					TOTAL USED	TOTAL UNUSED	TOTAL ALLOC.
	N.A.	BLACK	H.A.	A.A.	WHITE	N.A.	BLACK	H.A.	A.A.	WHITE			
FELLOWS	9	60	19	12	83	5	88	37	15	4	332	22	354
PERCENT OF TOTAL USED	2.7%	18%	5.7%	3.6%	25.0%	1.5%	26.5%	11.1%	4.5%	1.2%			
PERCENT OF TOTAL ALLOC.											93.8%	6.2%	100.0%

B - Black
H - Hispanic
U - Unused

NA - Native American
W - Women
* - Permanent Resident

PR - Puerto Rican
MA - Mexican American

AA - Asian American
CB - Cuban American

Source: Program files.

Ongoing and Planned Evaluation Studies:

A survey of graduate programs is planned as part of the Higher Education Panel to determine areas of need for program planning purposes.

Sources of Evaluation Data:

Program files.

For further information about program operations,

Contact: Louis Venuto, 245-2347

For further information about studies of program effectiveness,

Contact: Ann Hershner, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Legal Training for the Disadvantaged

Legislation:	**Expiration Date:**
Public Law 89-329 of the Higher Education Act of 1965 (as amended by Public Law 93-380), Title IX, Part D, Section 966; extended by Public Law 96-49.	September 30, 1980

Funding History: Year	Authorization	Appropriation
1974	1/	$ 750,000
1975	1/	750,000
1976	1/	750,000
1977	1/	750,000
1978	1/	1,000,000
1979	1/	1,000,000
1980	1/	1,000,000 (est.)

Program Goals and Objectives:

One of the purposes of Title IX, Section 966, Legal Training for the Disadvantaged, is to enter into contracts with public and private agencies and institutions for the purpose of assisting persons from disadvantaged backgrounds, as determined by the Commissioner of Education, to undertake training in the legal profession. Administered by the Council on Legal Education Opportunity (CLEO), the program was established for the purpose of bringing about a significant increase in the number of lawyers from minority and disadvantaged groups. The program, formerly funded by the Office of Economic Opportunity (OEO), is now funded by DHEW. The FY 1974 appropriation was the first specifically for the program under OE direction.

Program Operations:

The administration of the CLEO program is handled through a non-competitive project grant to the Council on Legal Educational Opportunity with no matching requirements. CLEO conducts a nationwide search for eligible candidates to participate in the program. Applications are submitted to the CLEO central office where an initial screening is done. Eligible applications are forwarded to regional panels of law deans and other educators who make the final selection of students.

1/ This program was funded from private sources in 1968-1970, and was funded by the Office of Economic Opportunity and HEA, Title IV. In 1974, Section 966 was authorized and "Such sums as may be necessary" were authorized for appropriation.

The CLEO participants are typically those who have not met traditional law school entrance requirements. The CLEO training program, therefore, includes a six week intensive pre-law summer preparation program for these students prior to their entering law school. Participants are then supported with $1,000 fellowships for each of their three years of law school attendance. In addition, participating law schools waive the tuition and fees that would normally be charged to the students.

Program Scope:

In the 1978-79 academic year, 196 new students were supported in addition to 300 continuing students. Altogether 2,626 students have participated in the CLEO program which has involved 144 law schools.

Program Effectiveness and Progress:

Since its operation in 1968, the program has experienced a retention rate among its first-year students of about 80 percent, as compared to the 90 percent rate for law students as a whole. Since the program's inception in 1968 through 1978, a total of 2,550 students have successfully completed the summer institute programs, and of these, 2,415 have entered law school. Of the total possible number of eligible graduates at this time, 1,241 or 69 percent have already graduated, a figure which compares reasonably well with the national norm. An additional 592 students have withdrawn from or failed in law school. Available data on students who participated in the legal training for the disadvantaged program from 1968 to 1978 are summarized in Table 1.

Considerable efforts have been made through the program to increase the number of women going to law school. Forty-six percent of the current participants are females. Similar efforts have been made to attract minorities. Table 2 summarizes the information on the ethnic background of the current participants. As the table indicates, the majority (approximately 57 percent) of participants are Blacks, however, a large number of ethnic minorities have participated in the program.

Ongoing and Planned Evaluation Studies:

The Education Amendments of 1976 require the evaluation of a number of HEA Title IX programs, including Part D. OE has completed the first annual study in response to this requirement. The second annual report was sent to Congress in late summer 1979.

Sources of Evaluation Data:

Program files, Division of Training and Facilities, Bureau of Higher and Continuing Education.

Applied Management Sciences, "A Study of Specific Federally Funded Graduate Education Programs," February 1978.

Table 2

Ethnic Background of CLEO Participants of December 1978 1/

Ethnic Background	# of Participants
American Indian	2
Appalachian	2
Asian American	16
Black	330
Black Panamanian	1
Black West Indian	2
Caucasian	14
Chicano	125
Cuban	7
Dominican	3
East Indian Asian	1
Filipino	1
Hawaiian	1
Hungarian	1
Italian American	1
Portuguese	1
Puerto Rican	54
Spanish Surname	5
Other Groups	1
TOTAL	568

1/ Data obtained from Council on Legal Opportunity. The total figure of 568 CLEO stipend recipients is the sum of 496 law students with known academic status and 72 CLEO students with unknown academic status but still in law school as of the above date.

Table 1

Summary of Information on CLEO Participants 1/

Year Participating in CLEO	# Students Participating	# Completing Summer Institute Successfully	# Entering Law School	# of CLEO Graduates	# Students in Law School Presently Receiving CLEO Aid	# in Law School Not Receiving CLEO Aid	# Withdrawn	# Passing Bar 2/	# Failing Bar
1968	161	151	131	84	0	0	47	69	7
1969	448	444	400	292	2	0	106	168	30
1970	212	197	191	131	0	0	60	82	8
1971	221	210	207	137	0	0	70	52	2
1972	217	213	210	137	0	0	71	47	6
1973	233	229	218	157	0	3	58	47	6
1974	225	225	219	59	0	3	60	38	3
1975	251	244	234	144	7	13	50	37	11
1976	220	216	205	N/A	159	0	34	N/A	N/A
1977	221	208	197	N/A	132	2	32	N/A	N/A
1978	217	213	203	N/A	196	7	4	N/A	N/A
TOTALS	2,626	2,550	2,415	1,241	496	28	592	540	73

1/ December 1978 data from American Bar Association Fund for Public Education, Council on Legal Education Opportunity.

2/ Bar information is understated. A survey being conducted by CLEO will produce by June 1980 more accurate information on the results of bar examinations taken by CLEO graduates in up to 50 jurisdictions.

Data from Council on Legal Education Opportunity, December 1978.

For further information about program operations,

Contact: Louis Venuto, 245-2347

For further information about studies of program effectiveness,

Contact: Ann Hershner, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Domestic Mining and Mineral and
Mineral Fuel Conservation Fellowships

Legislation:	Expiration Date:
Public Law 89-329 of the Higher Education Act of 1965 (as amended by Public Law 92-318), Title IX, Part D; extended by Public Law 96-49.	September 30, 1980

Funding History:

Year	Authorization	Appropriation
1975	1/	$1,500,000
1976	1/	3,000,000
1977	1/	4,500,000
1978	1/	4,500,000
1979	1/	4,500,000
1980	1/	4,500,000 (est.)

Program Goals and Objectives:

The purpose of this legislation is to assist, through fellowships, graduate students of exceptional ability for advanced study in domestic mining and mineral and mineral fuel conservation including oil, gas, coal, oil shale, and uranium. Such students must demonstrate financial need to qualify.

Program Operations:

Institutions of higher education apply directly to the Office of Education. The applications are reviewed and rated by panels of academic experts chosen from outside the Office. Allocations of fellowships are then made to the successful applicants who, in turn, select and nominate to the Commissioner of Education the persons they recommend for these fellowships.

Fellowships are awardable for any level of pre-doctoral study. Tenure cannot exceed 36 months, except an additional 12 months may be awarded by the Commissioner under special circumstances. The usual duration is about 18 months.

1/ The Commissioner is authorized to appropriate "such sums as may be necessary" to support up to 500 fellowships.

The Commissioner awards to the fellowship recipients such stipends as he may determine to be consistent with prevailing practices under comparable federally supported programs. For FY 1979 and prior years each fellow received a stipend of $3,900 for a 12-month period. In FY 1980, the fellow's stipend will be increased to $4,500. The institutions receive an institutional allowance of $3,900 per year for each fellow enrolled in the institution.

Program Scope:

Table 1

Summary of Fellowships and Awards
1975 to 1979

Fiscal Year Funds	Total No. of Fellows	No. of New One-Year Awards	No. of New Two-Year Awards	No. of Continuing Fellows	Average Cost of A-Fellowship
1975	180	180	--	--	$8,000
1976	375	229	--	146	8,000
1977	500	224	76	200	7,800
1978	500	136 1/	76	288	7,800
1979	462	25 2/	161	276	7,800

Characteristics of 323 fellows are presented in Table 2. They show that the fellows are a predominantly male group of students (92 percent). Three-quarters of the fellows were pursuing a Masters degree, while at least 45 doctoral students were supported. The majority of the students were involved in research, while 22 percent had practical field experience. The majority (62 percent) of the fellows were in engineering curriculums, and geology was the most studied science area (55 fellows).

Program Effectiveness and Progress:

The final reports submitted to the Office of Education from institutions awarded fellowship grants for 1976-77 were summarized in the Commissioner's 1978 report to Congress. These reports contained complete financial statements and objectives of the programs; some also included the level of study pursued by the fellows, the activities they engaged in and their standing at the end of the year. In addition, information on the positions obtained by the fellows and the strengths and weaknesses of the program were sometimes discussed.

1/ In FY 1978, of the 136 new fellows, 25 fellows received a one-year award to write their doctoral dissertations.

2/ Doctoral dissertation awards.

Table 2

Characteristics of Mining Fellows
FY 1976-77

	Sex		Level of Study			Activities		Graduate		Standing at End of Year				Positions Obtained 1/		
	Male	Female	Master	Ph.D.	Unknown	Research	Practicum	M.	Ph.D.	Continuing	Unknown	Vacated	Replaced	Related	Unrelated	Unemployed
Frequency	297	26	236	45	42	253	70	45	6	204	19	8	41	45	4	2
Percentage	92	8	73	14	13	78	22	14	2	63	6	2	13	88	8	4

1/ Number of Graduates.

Table 3

Fellows' Area of Emphasis: Breakdown of Programs
FY 1976-77

Engineering	Frequency of Program	Sciences	Frequency of Program
Chemical Engineering	29	Geology	55
Mining Engineering	30	Metallurgy	7
Petroleum/Fuels Engineering	25	Geophysics	9
Geological Engineering	22	Chemistry	2
Metallurgical and Mineral Engineering	39	Metallurgy and Materials Sciences	2
Mechanical Engineering	11	Mineral Economics	2
		Earth Sciences	14
Mineral and Civil Engineering	32	Fuels/Fuel Sciences	7
		Ore Deposits and Exploration	7
Ceramic Engineering	6	Geochemistry	2
		Mineral Processing	4
Industrial Engineering	5	Extractive Metallurgy	3
		Hydrology	4
		Biology	2
TOTAL	199	TOTAL	120

It should be kept in mind that some of the figures reported in this summary may be lower than actually is the case. For example, it is reported that 45 fellows secured employment in related fields. This number may, in actuality, be higher, since, final reports on the fellowship programs were not submitted by 6 of the 48 institutions awarded grants. Consequently, information on 87 fellows were lacking and had to be obtained elsewhere, such as from the grant application itself or from letters of correspondence in the program files--where possible.

By the end of the year, 51 of the fellows had graduated, with 45 receiving the Masters degree and 6 the Ph.D. (see Table 3). Most of the fellows continued their studies the following year, since most of these degrees were multi-year programs. While there were 49 fellowships vacated, most of the positions were replaced with alternates (41). From the available information, it appears that, at least 45 of the fellows had secured employment in related fields.

Ongoing and Planned Evaluation Studies:

The Congressionally mandated third annual report on Title IX, HEA Graduate Programs is due January 1980.

Proposed exploratory evaluation of HEA Title IX programs is expected in FY 1980.

Sources of Evaluation Data:

Program Files, Division of Training and Facilities, Bureau of Higher and Continuing Education.

The Second Annual Commissioner's Report on Title IX Graduate Programs.

For further information about program operations,

Contact: Louis Venuto, 245-2347

For further information about studies of program effectiveness,

Contact: Ann Hershner, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Public Service Fellowships and Institutional Grants

Legislation:

Public Law 89-329 Higher Education Act of 1965 (as amended by Public Law 92-318), Title IX, Parts A and C; extended by Public Law 96-49.

Expiration Date:

September 30, 1980

Funding History:

Year	Authorization 1/ Part A	Appropriation Parts A and C
1973	$30,000,000	--
1974	40,000,000	--
1975	50,000,000	$4,000,000
1976	50,000,000	4,000,000
1977	50,000,000	4,000,000
1978	50,000,000	4,000,000
1979	50,000,000	4,000,000
1980	50,000,000	4,000,000 (est.)

Program Goals and Objectives:

The overall goal of this program is to expand and improve the training of persons for the public service, including service in nonprofit organizations. There are two parts to the program. The objective of Part A, which authorizes grants to institutions of higher education, is to establish, strengthen and improve programs for graduate or professional students who plan to pursue a career in the public service. The goal of Part C, which authorizes the award of fellowships for graduate and professional students who plan to pursue a career in the public service, is to assist qualified students in obtaining advanced training for such careers.

Program Operations:

Public service awards are made on a competitive basis. Applications are sent to all four-year colleges and universities inviting them to apply for institutional and/or fellowship grants. Institutions receiving fellowship grants agree to recommend to the Commissioner students of superior promise who plan to enter public service.

1/ In addition to these authorizations for Part A, the Commissioner is authorized to appropriate such sums as may be necessary for up to 500 fellowships under Part C.

College graduates apply for fellowship by applying to institutions which have been awarded fellowship grants. For FY 1979 and prior years each fellow's stipend was $3,900 per year. In FY 1980, the fellow's stipend will be increased to $4,500. An institutional allowance of $3,900 per year is provided to the institution for each fellow enrolled in the program. Fellowships are awarded for full-time study only for a minimum of 9 months up to a maximum of 36 months.

No set amount is allocated for institutional grants, though they are only awarded to institutions which also support a fellowship program. Grants may be used for improving faculty; expanding public service programs for graduate study; strengthening administrative operations; carrying out cooperative arrangements with other graduate or professional schools; purchasing or renting educational materials; and recruitment, retention, and counseling and career placement activities.

Program Scope:

In Fiscal Year 1979, institutional grants totalling $503,650 went to 29 colleges and fellowships grants totalling $3,496,350 went to 79 colleges and benefitted 269 new fellows, and 161 continuing fellows. Fifty-five of the new fellows received multi-year awards.

Public service programs funded (92) in academic year 1976-77 were primarily in public institutions (N=68; 74 percent) and were usually in departments of public administration, public affairs, urban studies, or political science. Over half (N=52; 57 percent) granted the MPA degree, and only 17 reported granting a doctorate, i.e., Ph.D., D.P.A. or D.U.A. Quite frequently they were interdepartmental or interdisciplinary programs (35), in that students were encouraged to take courses in other departments or that the faculty represented several disciplines. Many programs also have developed cooperative arrangements such as joint degree programs or speciality training with other graduate schools or departments. Somewhat fewer programs (20) had a primary emphasis on training students who already worked in the public service. Others (12) had a special orientation in their programs, such as an emphasis on business management, or providing practical experience.

The programs focused on preparing students to work at the local and state level (45) and/or emphasized training generalists (27). Some emphasized specific areas of training, such as urban management (15), and rural management (5). About half of the programs were two-year master's programs, while 17 could be completed in 1 year and 25 completed in 18 months. The concern for enrolling women and minorities was not as great as the previous year. Only 13 (18 percent) institutions indicated that special efforts were made to recruit from among these groups.

In academic year 1976-77 institutional grants were awarded to 80 programs. The amounts ranged from $8,000 to $50,000, and a total of $2 million was awarded.

These institutions used the funds in a variety of ways, the single most frequent being staff improvement. Forty-one programs (51 percent) hired new faculty, and 80 programs (100 percent) had some kind of special training for faculty (and sometimes students). This training usually took the form of workshops, conferences, and seminars, either on or off campus. Staff improvement also included bringing practitioners on campus as part-time faculty or as resources for the workshops and seminars.

The programs were improved by the development and addition of new courses (35 schools) and by expanding the internship programs (35 schools). The latter might have involved hiring a director, providing faculty release time to supervise interns, developing new positions for interns, or increasing the number of interns in the program. Finally, funds were often used to support administrative staff in order to improve the administration of the program.

Seventy-three institutions were awarded fellowship grants worth $2 million to support 250 new and 105 continuing fellowships. The fellowship program was changed in two ways that responded to criticism from the previous year. Most of the 1975-76 fellows who had not yet completed their program were given continued funding, and thus offered some security throughout the length of the degree program. Also the fellowships for those completing their degree or vacating their fellowship, could then be transferred to another deserving student for the remainder of the year. Thus, actually 377 students were fellowship recipients, instead of the planned 355.

Table 1 indicates the majority (57 percent) of the 1976-77 fellows were male. All but two of the fellows were pursuing Masters degrees. Most of the fellows participated in internships (361), while 26 were involved in research. This may be misleading, since most students had thesis or major paper requirements that would involve research as well as practical experiences.

Program Effectiveness and Progress:

Table 2 describes the status of the fellows at the end of the grant year showing that 128 fellows completed the degree programs and 162 were continuing as students in 1977-78. Of the 33 vacated fellowships, many were mid-year graduates, while others left for employment and personal reasons. Almost all vacated fellowships were filled with replacements. Of the 1976-77 fellows, 141 secured employment in a public service related position. Some fellows also found employment, in unrelated areas (22), usually with profit-making organizations, while 47 were either still seeking employment or were continuing their education elsewhere.

The emphasis on educating practitioners is seen in that 155 fellows were reported to have participated in an internship, while only 34 were reported to have engaged in research. This may have been due, in part, to the fact that so many students had not yet graduated and may have been planning to do research later.

Table 1

CHARACTERISTICS OF PUBLIC SERVICE FELLOWS (N=377)

Fiscal Year 1976-77

	Sex		Level of Study		Activities as Student	
	Male	Female	Masters	Ph.D.	Internship	Research
Frequency	212	165	375	2	349	26
% of Fellows	56	44	99	1	93	7

Source: Program Files

Table 2

STATUS OF 1976-77 PUBLIC SERVICE FELLOWS (N=377)

Fiscal Year 1976-77

	At End of Year				Positions Obtained		
	Graduates	Continuing Students	Vacated Fellowship	Unknown	Public Service	Other	Unemployed or seeking Further Degree
Frequency	128	162	33	54	141	22	47
% of Fellows	34	43	9	14	37	6	12

Source: Program Files

Institutions receiving fellowship grants were asked to identify strengths and weaknesses of the program. Of the 73 who commented on the program, the largest number noted that the grant provided needed financial support to students, allowing them to pursue their degrees on a full-time basis. Other positive effects were as follows:

- o Attracted interest in the department and the public service (11).
- o The cost-of-education funds allowed for special services to be provided to the fellows, such as travel or opportunities to become involved in improving the program (14).
- o The cost-of-education funds allowed for services to be provided to non-fellows and/or to support the program (14). This applied to public institutions with low tuition.

The most commonly mentioned weakness was the lack of sufficient time between notification of the award and the beginning of the fall term, thus prohibiting national recruitment for fellows. Ten institutions mentioned this. Other weaknesses were:

- o Awards too late to recruit faculty (6).
- o An insufficient number of fellowships were awarded (3).

Ongoing and Planned Evaluation Studies:

HEA Amendments of 1976 have mandated an annual report on and evaluation of the graduate fellowship programs. OED, working with the program staff, has completed and forwarded the second such report.

Sources of Evaluation Data:

Program files, Division of Training and Facilities.

For further information about program operations,

Contact: Louis Venuto, 245-2347

For further information about studies of program effectiveness,

Contact: Ann Hershner, 245-8130

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Law School Clinical Experience Programs

Legislation:	Expiration Date:
Public Law 89-329 Higher Education Act of 1965 (as amended by Public Law 92-318), Title XI; extended by Public Law 96-49.	September 30, 1979

Funding History: Year	Authorization	Appropriation
1978	$7,500,000	$1,000,000
1979	7,500,000	2,000,000
1980	7,500,000	4,000,000 (est.)

Program Goals and Objectives:

The overall goal of this program is to demonstrate clinical experience to students in the practice of law particularly in the preparation and trial of cases.

Program Operations:

In a competitive process, grants or contracts are awarded by the Commissioner to some accredited law schools to establish or expand programs which provide clinical experience to students in the practice of law. The Federal share of cost may not exceed ninety percent. Funds may cover expenditures for planning, training faculty, hiring new faculty, travel and per diem for students and faculty, reasonable stipends for students for work in the public service not performed during the academic year, equipment, and library resources. The maximum grant a law school may receive in any Fiscal Year is $75,000.

Program Scope:

For the academic year 1978-79, $1,000,000 was awarded to 29 law schools to establish or expand programs that provide law students with actual law experience. Institutions receiving the grants which ranged in size from $29,000 to $56,000 are located in 24 States and the District of Columbia.

For the academic year 1979-80, it is expected that 56 institutions will be awarded grants.

Program Effectiveness and Progress:

Since the awards have been made so recently, it is not possible to determine their effectiveness at this time.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

For further information about program operations,

Contact: Louis Venuto, 245-2347

For further information about studies of program effectiveness,

Contact: Ann Hershner, 245-8130

H. EVALUATION OF EDUCATION PROGRAMS FOR THE HANDICAPPED

OVERVIEW

EVALUATION OF EDUCATION PROGRAMS FOR THE HANDICAPPED

The several programs authorized under the Education of the Handicapped Act have had one or more of four basic purposes: (a) provision of direct services, (b) development and demonstration of new technologies, teaching methods, and materials, (c) training special educational personnel, and (d) program evaluation. In each of the programs, the role of the Federal government has been a stimulative one, whereby "seed" money is provided to States and other grantees in order to stimulate increases in both the quantity and quality of services provided and to provide services for previously unserved handicapped children. The strategy for evaluating programs for the handicapped has been designed to determine if the programs have accomplished their specific purposes and, more generally, have had the desired stimulative effect. Accordingly, evaluation studies have been of two kinds: (a) those designed to obtain objective data on the impact and effectiveness of specified programs, particularly those which represented a major Federal investment of funds, and (b) those designed to provide policy-relevant planning information to enable the Federal government to target its resources more effectively.

Studies of the first type have, in general, demonstrated that these programs have accomplished their specific purposes. Efforts to isolate the stimulative effect and to demonstrate a causal relationship attributable to Federal programs have been complicated by forces outside the span of control of Federal evaluators and program managers. Examples of these forces range from effective lobbying by parents and professional groups with special interests in education of the handicapped to court cases which have demonstrated that handicapped children have not had equal access to educational opportunities. Because of these events, an increase in resources for handicapped children has led to a corresponding gradual increase in the number of handicapped children receiving services. As noted above, the degree to which Federal programs have contributed to this increase has not been determined. Furthermore, it appears that further attempts to demonstrate this effect may be fruitless because recent legislation has resulted in a significant redefinition of the Federal role in education of the handicapped.

The Education of All Handicapped Children Act of 1975, P.L. 94-142 amends EHA, Part B in the following ways:

- It explicitly states that Federal policy is to assure access to free, appropriate, public education for all handicapped children by the States
- It specifies that the unserved have first priority and that the most severely handicapped within each disability category who are not receiving an adequate education have second priority for services relative to all handicapped children

- It indicates that handicapped children should be served in the least restrictive environment consistent with their needs and abilities
- It specifies that each child shall have the benefit of an individualized educationally program which will be updated at least annually.

The Bureau of Education for the Handicapped has developed data which show that progress toward the achievement of these legislative objectives is being made. For example:

- It is estimated that almost 75 percent of the nation's handicapped school age children are receiving special education and related services today compared to less than half as estimated by Congress at the time P.L. 94-142 was enacted.
- On the annual child count for this school year (1978-79), 48 of the 57 states and territories (84 percent) have reported an increase over last year in the number of handicapped children receiving special education and related services.
- Since the passage of P.L. 94-142, over 230,000 new handicapped children have been reported to be receiving special education; it has been estimated that this has required the hiring or reassignment of approximately 19,000 teachers.

- The number of preschool children ages 3 through 5 receiving special education has increased by over 20,000 in the past 3 years, a growth rate of more than 10 percent.
- It is estimated that approximately 160,000 new handicapped children were evaluated last year as a result of child find activities.
- Since the enactment of P.L. 94-142 in 1975, the number of previously institutionalized handicapped children being served by local education agencies has increased by almost 40 percent.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Aid to States for Education of Handicapped Children in State-Operated and State-Supported Schools

Legislation:

ESEA Title I, Sections 146-147 (P.L. 89-313), as amended by P.L. 93-380, and P.L. 95-561

Expiration Date:

Indefinite

FUNDING HISTORY	YEAR	AUTHORIZATION 1/	APPROPRIATION
	1966	$ 15,917,101	$ 15,917,101
	1967	20,462,448	15,078,410
	1968	24,746,993	24,746,993
	1969	29,781,258	29,781,258
	1970	37,475,507	37,475,507
	1971	46,129,772	46,129,772
	1972	56,380,937	56,380,937
	1973	75,962,098	75,962,098
	1974	85,772,779	85,777,779
	1975	183,732,163 2/	183,732,163
	1976	111,433,451	111,433,451
	1977	121,590,937	121,590,937
	1978	132,492,071	132,492,071
	1979	143,353,492	143,353,492
	1980	150,000,000	145,000,000

Program Goals and Objectives:

This program was designed to provide Federal assistance to State agencies which are directly responsible for providing free public education for handicapped children. Handicapping conditions include mental retardation, hard of hearing, deaf,

---

1/ The authorization level under this legislation is determined by formula and taken from the total Title I appropriation prior to any other allocation of Title I funds. See text for definition of the formula. Appropriation designated in terms of "year of use."

2/ Commencing in 1976 the program is advance funded from prior year appropriation. This resulted in a doubling up of funding in 1975. Funds are shown in the year appropriated.

speech impaired, visually handicapped, seriously emotionally disturbed, orthopedically impaired, deaf-blind, specific learning disabilities, multi-handicapped or other health impairments requiring special education. State agencies are authorized to use Federal assistance only for programs and projects which are designed to meet the special educational needs of these handicapped children. Acquisition of equipment and construction of school facilities may be included in these projects. Assurances must be given that each child will be provided with programs to meet his special educational needs. The primary emphasis of this program is to fund institutions: (1) which provide full-time residential programs to those children requiring this service, (2) which provide special itinerant services on a part-day basis for children who are enrolled in regular day school but require special, additional assistance, and (3) for children confined to their homes because of the severity of their handicap. The program funds institutions which are directly responsible for the education of children in numbers (1)-(3) above.

Program Operations:

Federal funds under this program are advance funded; i.e., funds appropriated in a given fiscal year are obligated for expenditure in the succeeding fiscal year, as determined by a formula. This formula is based upon the number of eligible handicapped children counted in average daily attendance (ADA), in an elementary or secondary program operated or supported by a State agency, multiplied by 40 percent of the State per pupil expenditure (or no less than 80 percent or more than 120 percent of the National Per Pupil expenditure). With the amendment of P.L. 89-313 in 1974, children in average daily attendance (ADA) in a State agency who return to an LEA are eligible to participate in the P.L. 89-313 program. The eligibility criteria for LEA participation are:

- The child must have been reported previously in the ADA of a State agency.
- The child must be currently enrolled in an appropriately designed special educational program in the LEA.
- The State agency transfers to the particular LEA funds generated by each such child.

The Bureau of the Education of the Handicapped (BEH) is responsible for the Federal administration of this program. BEH allocates the funds to State agencies. Applications for the project funds are then submitted by participating institutions/schools to their supervising State agency. Those applications approved by a State agency are forwarded to the State education agency (SEA) for final approval and release of funds. All participating institutions/schools must submit end of year reports to its State agency accounting for the expenditure of funds and providing an evaluation of project activities.

Program Scope:

In FY 79 (i.e., FY 78 appropriation) approximately $132.5 million was allocated to the 50 States, the District of Columbia, Puerto Rico, Guam, and the Virgin Islands.

The funds allocated were administered by 145 State agencies which supervised project participation at 3,950 State schools, 3,000 local educational agencies and local schools. The average daily attendance reported by these institutions was 22,732 children, as of October 1977. Those children benefiting under the program are distributed across the following handicap categories as follows: Mentally Retarded - 122,204; Deaf and Hard of Hearing - 28,522; Emotionally Disturbed - 34,485; Orthopedically and Other Health Impaired - 27,514; Visually Handicapped - 10,007. The average per pupil expenditure is $595.

Program documentation indicates that FY 79 program funds will be administered by 145 State agencies which will supervise activities of 3,900 State schools and 3,100 local educational agencies and local schools. The funds appropriated in this fiscal year, for use in school year 1979-80, should provide services to approximately 225,500 children. The projected average cost per child served should be $636.

Program Effectiveness and Progress:

An exploratory study, completed by Abt Associates, Inc., May 1977, surveyed 100 providers of services to severely handicapped children and youth. Providers were assessed to determine the type, kind, and quality of services delivered to the 8,615 severely handicapped served by these providers. (Note: P.L. 94-142, requiring a free, appropriate public education, had not been passed yet.)

This study found that the basic predictive variables were: (a) type of provider, (b) size of the severely handicapped population served by individual providers, and (c) clients' handicapping condition. Abt Associates, Inc., concluded the following about the providers surveyed:

Provider Type:

Providers were classified as offering residential programs, day care programs, or a combination of both. Providers were characteristically different from each other and not compatible for analytical or predictive purposes. Services rendered and the corresponding cost and quality of services provided (by provider type) to the severely handicapped were extremely different. Among residential facilities: 90 percent provided educational and rehabilitative services, had an average waiting period between client's application and his/her admission of 7.7 months, accepted 61 percent of the applicants, and retained clients for a longer time period than did mixed or day facilities. Though residential providers released more clients annually than did day providers, a greater number of their discharged clients continued to receive educational services in a non-school setting. By contrast, day facilities always offered a wider variety of services, performed formal evaluations, tended to have greater parental involvement, and had an average waiting period of slightly more than 3 months. Provider characteristics were influenced by the size and the type of the handicapped population served by the providers.

Size:

Larger providers generally offered a wider variety of services, performed formal evaluations, and tended to have greater parental involvement than found among providers serving only a small number of severely handicapped children and youth.

Type of Handicapping Condition of Clients:

There were pronounced differences among providers serving primarily the mentally retarded, the deaf-blind or the emotionally disturbed. Providers serving the above conditions differed by quality of services delivered, staff-client ratio, type and qualifications of personnel and an array of other variables.

Quality of Care:

Several generalizations about the quality of client care provided can be made. Overall findings indicate that:

- o Day providers were of higher quality than residential or mixed providers.
- o Larger providers were of higher quality than smaller providers, with the optimal number of clients being 51-200.

- o Providers serving primarily emotionally disturbed clients were of higher quality than all other providers.

- o Public and private providers were virtually identical in quality.

General Findings:

All providers received approximately 80 percent of their funds from public funding (i.e., State, Federal and local governments as well as welfare programs). Residential and mixed facilities were mainly supported by State funds; whereas, day providers had about equal funds from State and local sources. All 3 types of providers received about 15 percent of their funds from Federal programs. In general, 75 percent of provider expenditures went for personnel costs. Residential providers spent nearly twice as much as day providers on personnel costs associated with rendering educational/habilitative services.

Reallocation of expenditures was not found to contribute to a noticeable increase in the quality of care provided by a facility serving the severely handicapped.

It should be noted that the sample of providers is not nationally representative in a statistical sense. The sample does contain, however, providers which are examples of the types of institutions serving the severely handicapped.

Ongoing and Planned Evaluation Studies:

A BEH study to evaluate this program was awarded to Rehab Group, Inc., September 1977; it will be completed by August 1979. The following have been examined at the State agency and provider (i.e., institutions, day programs) levels:

a. State Agencies

(1) Administration of the Program - examination of administrative models in operation and the manner in which the following functions are handled: monitoring, auditing, project evaluation, project approval, and personnel assignments. The analysis would include a review of the methods by which ADA counts are validated.

(2) Program Standards - an examination of the standards for program operation in relation to State regulation standards for LEAs.

(3) Fiscal Analysis - review of the allocation and distribution of P.L. 89-313 funds and a description of the procedures used to track funding allotments as they flow to the LEAs (i.e., the transfer provision). A comparison, by handicapping conditions, of the expenditures for services for P.L. 89-313 eligible children.

b. State Institutions/day programs

(1) Program Standards - review of the standards for admission, child assessment, program evaluation, personnel requirements, and pupil/teacher ratios; and to determine what standards exist and how they compare to standards set at the SEA level.

(2) Program Characteristics of Service Delivery Providers - review of the programs/services provided to handicapped children eligible under P.L. 89-313 funding.

(3) Fiscal Analysis of Services Provided - a review of the uses of State and local funds compared to Federal monies.

Sources of Evaluation Data:

1. Bureau of the Education of the Handicapped program information.

2. "An Assessment of Selected Resources for Severely Handicapped Children and Youth," Abt Associates, Cambridge, Massachusetts, April 1977.

For further information about program activities,

Contact: Slagle Allbritton
(202) 245-2381

For further information about studies of program effectiveness,

Contact: Dr. Emmett Fleming
(202) 245-8380

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

State Grant Program

Legislation:

P.L. 91-230, Part B, as amended by P.L. 93-380, as amended by P.L. 94-142, and P.L. 95-561, Assistance to States for Education of Handicapped Children

Expiration Date:

Indefinite

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1967	$ 51,500,000	$ 2,500,000
	1968	154,500,000	15,000,000
	1969	167,375,000	29,250,000
	1970	206,000,000	29,190,000
	1971	200,000,000	34,000,000
	1972	216,300,000	37,500,000
	1973	226,600,000	50,000,000
	1974	226,600,000	47,500,000
	1975	1/	200,000,000 2/
	1976	1/	200,000,000 3/
	1977	5/	315,000,000 4/
	1978	5/	566,030,073 6/
	1979	5/	804,000,000
	1980	5/	874,500,000

1/ Authorization: Number of children between 3 and 21 multiplied by $8.75.

2/ Includes $90 million in a second supplemental appropriation bill.

3/ Double appropriation changing program to advance funding mode.

4/ $63,230,073 of this amount was carried over into the next fiscal year.

5/ Authorization: Number of handicapped children aged 3-21 multiplied by 5% of APPE (FY 1977), 10% of APPE (FY 1978), 20% of APPE (1979), 30% of APPE (1980) and 40% of APPE (1981 and thereafter).

6/ Includes $37,800,000 supplemental and $63,230,073 carried forward from FY 1977 appropriation.

Program Goals and Objectives:

The primary goal of this program is to assist states to provide full educational opportunities to all handicapped children. Through grants to States, the program design is to assist in the initiation, expansion and improvement of programs and projects for the handicapped (3-21 years of age) at the preschool, elementary and secondary levels. The grants are intended to increase the quality and quantity of programs for handicapped children. Federal and local resources are used in order to insure that all handicapped children receive a free, appropriate public education designed to meet the child's unique educational needs; and further, to guarantee that each child is educated in the least restrictive environment in accordance with his/her special needs.

Program Operations:

Prior to FY 77, non matching grants were made to States and outlying areas. The program was advance funded; i.e., funds appropriated in a given fiscal year were obligated for expenditure in the succeeding fiscal year. Funds were allocated to States on the basis of the number of children in each State 3-21 years of age multiplied by $8.75, ratably reduced with a minimum $300,000 grant.

Beginning in FY 78 (September 1, 1978) the Education of All Handicapped Children Act, P.L. 94-142, required all States to provide a free appropriate education to all handicapped children 5-18 years of age (and 3-5 years of age, providing that this age range corresponds with State law). Any State requesting a grant is required to submit to the Commissioner, through its State Educational Agency, a State plan. State plans are required to demonstrate: (1) the policies and procedures used to implement the program objectives; (2) demonstrate the manner in which the administration of the plan is to be conducted; (3) provide assurance that the control and administration of funds is performed by a public agency; and, (4) assure that every attempt will be made to identify and serve all children with handicapping conditions. The Education of All Handicapped Children Act, P.L. 94-142, provides that each State is entitled to receive an amount equal to the number of handicapped children aged 3-21 receiving special education and related services multiplied by a percentage of the national average per pupil expenditure. The percentage increases yearly, up to a maximum of 40 percent in 1982.

Fiscal Year of Use	Percent of Per Pupil Expenditures
1978	5
1979	10
1980	20
1981	30
1982 (and thereafter)	40

In determining the amount of funds to be allocated to each State:

- No more than 12 percent of the number of all children in the State, ages 5-17, may be counted as handicapped.
- Five percent of the total funds received or $200,000 (whichever is greater) may be used by States for administrative costs.
- In FY 78, a minimum of 50 percent of Part B funds will "flow-through" States to LEA's and intermediate educational units if they meet legislative requirements and priorities and are able to qualify for an allocation of at least $7,500. Starting in FY 79, the minimum flow-through is 75 percent.
- Part B funds that are retained by the State and are not used for administrative purposes must be matched on a program by program basis by the State from non-Federal sources.

Other requirements of P.L. 94-142 are that States provide an education to all handicapped children that:

- Is appropriate and individualized
- Is available to all children 3-21 by September 1, 1980

The intent of P.L. 94-142 is to assist the States to defray the excess costs of educating the handicapped. Excess costs are defined as those in excess of the amount normally spent on regular educational programs in the States.

Program Scope:

In general, the purpose of P.L. 94-142 is to provide grants to the States to assist them in the initiation, improvement, and expansion of educational and related services for handicapped children at the preschool, elementary, and secondary levels.

The following chart displays various descriptive information about the P.L. 94-142 program based, in part, on FY 1978 data.

FY 78 advance appropriation for FY 79	$566 million
Per Child Payment (average)	$158
Number of Children Served	3.56 million
Institutions Eligible	SEAs (25% funds reserved) LEAs (75% funds Intermediate units flow-through)
Type of Grant	Formula Grant to State Education Agencies -- Application to SEA with assurances (no project)
Handicapping Conditions	Mild to Moderate within each disability category
Educational Settings	Generally directed to LEAs
Intended use of funds	Must be expended according to service priorities for excess costs only. May be used to supplant State funds only after LEAs are in compliance with full service mandate.

As stated earlier, there are established priorities for utilizing these program funds. The expenditure of EHA-B funds is restricted by regulatory requirements which dictate service priorities. These priorities are providing services to the unserved and underserved (i.e., those with the most severe handicapping conditions within each disability area). In general, grants are used for the following broad priorities:

1. Full implementation of State-wide child identification programs, including diagnostic and evaluative services, which began in school year 1976-77.

2. Continued initiation and expansion of programs to serve the unserved and underserved, most severely and multiple-handicapped. These programs (a) stress least restrictive placement of children in local schools and (b) includes short-term inservice training of local school staff.

3. Continued expansion of programs for preschool children.

As in FY 1977 "child find" activities (including diagnostic and placement services) continue to be a major focal point for State/local efforts under EHA-B. These "child find" activities have surfaced a greater "number" of handicapping conditions. This diversity encompasses the problems of not only severity of condition but also "cultural" differences with which the public schools and institutional settings must deal. Since the students have been "found" in such a wide variety of geographically diverse locations - yielding low incidence handicaps in rural settings - regionalization or the development of collaboratives has become necessary. Typically, through this organizational structure, educational systems can be both humanly and fiscally responsive. Related services such as speech, evaluation (psychological and diagnosis) physical therapy, occupational therapy, etc., which would have been financially impossible in a rural area can be made available. States' grant awards are integrally related to the child count data SEA's must provide to the BEH. The following is a preliminary tabulation of children (aged 5-21 only) by handicapping condition for FY 1979. 6/

6/ This tabulation is based exclusively on child count data (count was taken December 1, 1978) received from 50 States. The final child count has not been officially computed by the BEH. The figures reported above will change as a result of the official BEH computation.

Handicapping Condition	Percentage Distribution	No. of Children
Mentally Retarded	21.6	802,428
Hard-of-Hearing	1.0	38,247
Deaf	0.6	20,618
Speech Impaired	32.6	1,211,712
Visually Handicapped	0.6	23,058
Emotionally Disturbed	7.3	270,818
Orthopedically Impaired	1.7	63,658
Other Health Impaired	2.7	101,532
Specific Learning Disabled	30.7	1,142,033
Deaf-Blind	0.1	1,522
Multihandicapped	1.1	40,449
TOTAL	100.0	3,716,073

Program Effectiveness and Progress:

An evaluation of this program was completed in 1972. With the passage of P.L. 94-142, the findings of this study are obsolete. Accordingly, to avoid confusion the summary of these findings has been omitted.

Ongoing and Planned Evaluation Studies:

An evaluation of this program will be conducted in FY 1980 or 1981. In addition, several process/formative studies are conducted by the Bureau of Education for the Handicapped. Details on these studies may be obtained from the program operations contact (see below).

Sources of Evaluation Data:

Bureau of Education for the Handicapped program information.

Bureau of Education for the Handicapped Special Studies Program.

For further information about program operations,

Contact: Slagle Allbritton
(202) 245-2381

For further information about studies of program effectiveness,

Contact: Dr. Emmett Fleming
(202) 245-8380

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Preschool Incentive Grants

Legislation:

Section 619 of Part B of EHA,
as added by P.L. 94-142
"Incentive Grants"

Expiration Date:

Indefinite

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1977	1/	$12,500,000
	1978	1/	15,000,000
	1979	1/	17,500,000
	1980	1/	25,000,000

Program Goals and Objectives:

The purpose of this program is to stimulate State and local education agencies to expand educational services to handicapped preschool children, ages 3-5, thereby increasing their opportunities to benefit from early educational intervention.

Program Operations:

The Education for all Handicapped Children Act (P.L. 94-142) mandates that all handicapped children aged 3-21 shall receive a free and appropriate education unless, for ages 3-5 and 19-21, such provision is inconsistent with State law or practice. This provision of P.L. 94-142 has the effect of mandating educational service to the handicapped who are in the age group for whom education is compulsory in each State; however, many States do not yet mandate or customarily provide educational services to preschool children; therefore, a large portion of the handicapped preschool population, ages 3-5, would not have the opportunity to benefit from the service mandate contained in P.L. 94-142. As an incentive for States and local education agencies to develop and expand programs for this age group, Section 619 of Part B of EHA authorizes grants to States based on the actual number of handicapped preschool children being served.

1/ Permanent authorization. The authorization level for this program is determined by formula; each state receives $300 (ratably reduced) for every handicapped child, aged 3 to 5, who is receiving special education and related services.

SEA's must report to the Commissioner the average number of handicapped children residing in the State who were receiving special education and related services on December 1 of that school year. The number of children ages three through five so reported is the basis for awarding preschool incentive grants to SEA's. State educational agencies may distribute funds received under this program to local educational agencies on a discretionary basis.

Program Scope:

In order to be eligible for funding under this program a State must:

(1) make application to the Commissioner of Education

(2) have in effect a policy that assures all handicapped children a free appropriate public education

(3) have on file in the U.S. Office of Education an approved State plan to provide such services, and

(4) already be providing services to some preschool handicapped children ages 3-5.

Program Effectiveness:

In school year 1976-77 BEH data show that 196,223 handicapped children, ages 3 through 5, were counted as being served, generating Incentive Grant funds to initiate, improve, or expand services to this age group. In school year 1977-78, 200,589 children were counted; in school year 1978-79 the count increased to 213,850.

As a complement to the Incentive Grant program which aims at supporting basic educational and related services, the Early Childhood Education program authorized by Part C, Section 623, of the Education of the Handicapped Act supports demonstration projects which focus on improving the quality of educational programs for young handicapped children. The incentive grant program distributes funds on a formula basis, whereas the Early Childhood projects are funded through the discretionary grant process.

Ongoing and Planned Evaluation Studies:

None

Source of Evaluation Data:

Bureau of Education for the Handicapped program information.

For further information about program information,

Contact: Slagle Allbritton
(202) 245-2391

For further information about studies of program effectiveness,

Contact: Dr. Emmett Fleming
(202) 245-8380

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Regional Resource Centers

Legislation:

P.L. 91-230, Part C of EHA
Section 621, Regional Resource
Centers

Expiration Date:

September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1966		
	1967		
	1968		
	1969	$ 7,750,000	$ 5,000,000
	1970	10,000,000	3,000,000
	1971 1/		3,500,000
	1972 1/		3,500,000
	1973 1/		7,243,000
	1974 1/		7,243,000
	1975	12,500,000	7,087,000
	1976 3/	18,000,000	10,000,000 4/
	1977	19,000,000 2/	9,750,000
	1978	19,000,000	9,750,000
	1979	19,000,000	9,750,000
	1980	21,000,000	9,750,000

1/ Totals of $36,500,000 in 1971, $51,500,000 in 1972, and $66,500,000 in 1973 were authorized for Part C, EHA, which includes early childhood projects, Regional Resource Centers, and deaf-blind centers. The 1973 authorization was extended through 1974 by virtue of the one-year extension contained in GEPA.

2/ Total authorized for section 621 is $19,000,000; other funds requested under section 621 were $3,250,000 for severely handicapped projects.

3/ Contracts were awarded to 8 regional resource centers for developing 16 direction service programs.

4/ In April 1975 litigation was settled which resulted in the release of $12,500,000 appropriated under the 1973 continuing resolution; of these funds, $3,131,652 were used for Regional Resource Centers, increasing obligations over the 1976 appropriation by that amount.

Program Goals and Objectives:

The Regional Resource Centers Program was established to encourage the development and application of exemplary appraisal and educational programming practices for handicapped children. The centers are given the responsibility of developing a national support system to assist State and local agencies develop the capacity to provide needed diagnostic and prescriptive services. To accomplish the goals and objectives of this program, the Centers use demonstration, dissemination, training, financial assistance, staff expertise, and consultation. The Centers also act as backup agents where State and local agencies have inadequate or nonexistent service programs. Among the major activities of the Centers are:

o Identification of unserved handicapped children.

o Measurement and diagnosis of handicapped children for the purpose of proper educational placement.

o Development of educational and vocational programs for handicapped children.

o Provision of technical assistance to relevant personnel (including teachers and parents) in implementing appropriate services for the handicapped learner.

o Periodic re-examination, re-prescription or case-tracking to validate the appropriateness of program placement for children.

In FY 78, 15 Direction Service Program Centers were also supported under this activity. These centers encouraged LEA's to adopt programs of comprehensive referral services through the operation of models which would:

o Provide a one-stop information system

o Attempt to develop multidisciplinary approaches to integrate services

o Require parent participation

o Stress follow-up, periodic reassessment, and program service evaluation

o Match child's needs to available services

Program Operations:

To meet program goals and objectives, grants and contracts are awarded to institutions of higher education, State educational agencies, or combinations of such agencies or institutions. Within particular regions of the United States, grants or contracts may be awarded to one or more local educational agencies. Projects are approved for periods of 36 months. However, awards are made annually, and renewed on the basis of a Center's effectiveness and the availability of funds. Initial awards are made on a competitive basis. Awards pay for all or part of the costs of the establishment and operation of the Regional Centers and Direction Service Centers.

Program Scope:

The FY 78 appropriation ($9,750,000) funded 30 awards. The resource centers assisted either single or multi-State regions, were responsible for providing special education skills training, technical assistance to SEA's for developing and implementing comprehensive State plans for services to the handicapped, and direct educational referral services. The 15 Direction Service Centers were initiated in FY 76.

FY 79 program funds support 15 Regional Resource Centers and 15 Direction Service Centers. The current emphasis is on promoting child referral and evaluation and upon providing technical assistance to SEA's and LEA's to assist them to develop and implement the individualized educational program requirements (IEP) and the free appropriate public education requirements (FAPE) specified in P.L. 94-142. An anticipated 9,000 personnel will be trained in the best available procedures for carrying out the IEP/FAPE mandate. In addition, 90,000 handicapped children are expected to be appraised, referred, and to receive other educational services as a result of this program's activities. The RRCs will also assist the 57 State educational agencies develop their comprehensive State plan required by Section 613 of P.L. 94-142, with particular emphasis devoted to developing case findings and identification systems.

FY 79 distribution of funds across activity areas is:

Activity	Distribution
Regional Resource Centers	
State program development	$ 4,000,000
Educational appraisal	1,000,000
Educational programming	1,000,000

Activity	Distribution
Project administration	$ 1,000,000
Direction Service Centers:	
Inter agency Development	1,000,000
Information Services to Clients	1,750,000

Program Effectiveness:

The primary limitations on meeting the stated objectives of this program are: (1) the unavailability of best practices in utilizing validated diagnostic procedures, (2) insufficient funds available to State and local educational agencies to develop and implement effective diagnostic, assessment, evaluation and reevaluation programs, and (3) trained diagnosticians and diagnostic teams available in sufficient numbers or with sufficient resources to fully implement the requirements of P.L. 93-380 and P.L. 94-142.

Ongoing and Planning Evaluation Studies:

Communication Technology Corporation was awarded a contract to conduct an assessment of the capacity building accomplishments of the Regional Resource Centers. The contractor's efforts will be directed to examining how effectively the RRCs are in assisting SEAs and LEAs implement the Individualized Education Program and the Free Appropriate Public Education requirement mandated by P.L. 94-142.

The study will be completed in April 1980, cost $400,000 and is being conducted in two phases. Phase I will include: document review, instrument development and field testing. Phase II will include the data gathering, data processing, analysis and report writing activities.

Source of Evaluation Data:

Bureau of the Education for the Handicapped program data.

For further information about program operations,

Contact: Slagle Allbritton
(202) 245-2381

For further information about studies of program effectiveness,

Contact: Dr. Emmett Fleming
(202) 245-88380

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Deaf Blind Centers

Legislation: **Expiration Date:**

P.L. 91-230, Part C of EHA
Section 622, Centers and Services
for Deaf-Blind Children

September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1968		
	1969	$ 3,000,000	$ 1,000,000
	1970	7,000,000	4,000,000
	1971 1/		4,500,000
	1972 1/		7,500,000
	1973 1/		10,000,000
	1974 1/		14,055,000
	1975	15,000,000	12,000,000
	1976	20,000,000	16,000,000
	1977	20,000,000	16,000,000
	1978	22,000,000	16,000,000
	1979	24,000,000	16,000,000
	1980	26,000,000	16,000,000

Program Goals and Objectives:

This program's purpose is to provide assistance to deaf-blind children by helping them reach their full communication potential so that they can reach self-fulfillment and participate in society. These program objectives are accomplished by working with deaf-blind children as early in life as feasible and by providing effective specialized, intensive professional and allied services, methods and aids. A limited number of model centers for deaf-blind children are funded under this program.

1/ Totals of $36,500,000 in 1971, $51,500,000 in 1972, and $66,500,000 in 1973 were authorized for Part C. EHA, which includes early childhood projects, regional resource centers, and deaf-blind centers. The 1973 authorization was extended through 1974 by virtue of the one-year extension contained in GEPA.

Program Operation:

Contracts are made with public or nonprofit private agencies, organizations, or institutions to pay for all or part of the cost of establishing single state and multi-state centers and for the operation of service contracts with State, local, and private organizations. Contracts for this purpose are awarded based on the availability of existing services and the assurance that a center can provide:

- o Comprehensive diagnostic and evaluative services for deaf-blind children.
- o A program for the adjustment, orientation, and education of deaf-blind children which integrates all the professional and allied services necessary for these children.
- o Effective consultative services to parents, teachers, and others who play a role in the education of these children.

These services may be provided to deaf-blind children (and where applicable, to other persons) whether or not they reside in the center, may take place at locations other than the center, and may include transportation of children, attendants, and/or parents.

Program Scope:

It has been estimated that approximately 70 percent of the funding for deaf-blind programs come from State and local governments. In FY 79 there were 8 single state and 8 multi-state centers serving deaf-blind children. In order to reach the widely dispersed deaf-blind population, the centers subcontract with approximately 250 to 300 State, local and private organizations. The current program thrust is upon rendering full-time educational services and upon providing technical assistance to subcontractors, in order to upgrade the development, implementation, and coordination of new service delivery systems and to facilitate the development of program alternatives. This program will carry out the following activities during FY 79:

- o Full-time educational services including prevocational/vocational training programs
- o Part-time educational services
- o Medical diagnosis and educational evaluation

- Family counseling
- Inservice personnel training
- Alternative service programs: satellite homes, community residence programs, respite care

- Dissemination of information on methodologies, materials, curriculum, and proceedings of workshop and training services.

Program Effectiveness and Progress:

Program information suggests that the major drawback in reaching the program's goals is the acute shortage of trained teachers and teacher-aides. An estimated 500 to 600 additional teachers are needed to meet the needs of the known population of deaf-blind children. Current training programs are annually producing only 40 to 50 teachers with special qualifications for teaching deaf-blind children. Additionally, though facilities are available, many need to be modified or renovated to benefit these children. Lack of instructional materials and technology is another deterrent toward fullfillment of program goals.

Program monitoring information indicates that the Centers have been successful in terms of reaching increasing numbers of deaf-blind children. The 5,872 children served in FY 79 compares favorably with 4,516 in FY 76 and represents a substantial increase over FY 69 when 100 children were served by six programs in the United States.

In FY 79 approximately 5,872 deaf-blind children have been identified. During this year children continued enrollment in full and part-time programs. About 3,000 children received initial diagnosis and evaluation services. Parents continued receiving counseling and 3,000 teachers and aides were provided training related to problems of the deaf-blind population. Average per pupil cost to full-time educational programs equals $3,553. Part-time per pupil costs averages approximately $549.

Despite this evidence of growth in FY 79, considerable variation exists in the amount and quality of services provided. The Bureau is currently establishing basic minimum standards of service for the entire program.

Ongoing and Planned Evaluation Studies:

The BEH and RSA have jointly let an RFP (August 79) to fund a needs assessment of services to Deaf-Blind individuals. The study is intended to: (1) determine the demographic characteristics of the deaf-blind population; (2) identify gaps in service delivery; (3) determine future needs; and (4) specify resources necessary to service needs identified for deaf-blind children and adults. The study should be completed by October, 1980.

Sources of Evaluation Data:

A study was completed in May 1977 by Abt Associates Incorporated, titled, "An Assessment of Selected Resources for Severely Handicapped Children and Youth." This assessment described characteristics of 100 service providers to the severely handicapped population; among these were providers to the deaf-blind. This evaluation demonstrated that providers serving deaf-blind clients:

- Often had mandates to serve other disability groups.

- Had high staff-client ratios for certified and non-certified teachers and attendants; however, this was not so for other types of staff.

- Varied in the quality of services they provided; e.g., residential providers delivered high quality services, whereas day care providers generally rendered services of poor quality.

- Commonly discharged deaf-blind clients because of (a) functional deterioration of the client or (b) a decrease in the severity of the condition; however, the discharge rate for this disability group was lower than found for other severely handicapped client populations.

In an effort to monitor more systematically and assess the activities and performance of the regional centers and their service providers, the BEH contracted with a team of experts on the deaf-blind to develop a set of guidelines to assess the program and use those guidelines in an on-site review of each deaf-blind region. During FY 78, seven regions were visited. The observations, data, and conclusions produced by the team of experts were compiled and analyzed by another third-party contractor. Their report to the BEH indicated that direct services to children provided at the regional and subcontractor levels were generally of high quality, while services to teachers and parents were of lesser quality. The major area of weakness was regional center administration, particularly fiscal control and management.

This information has been used by the BEH to provide technical assistance to current contractors. Since the Deaf-Blind program entered a new funding cycle in FY 78, efforts have been taken to ensure that previously identified deficiencies do not manifest themselves in new contract awards. In FY 79, eight centers and 16 deaf-blind service programs were visited by the evaluation team. The data and recommendations from those site visits are currently under analysis and will be used to develop technical assistance plans for the center programs.

1. Bureau of the Education of the Handicapped, program data.

2. "An Assessment of Selected Resources for Severely Handicapped Children and Youth", Abt Associates Incorporated. Completed: May 1977

For further information about program operations,

Contact: Slagle Allbritton
(202) 245-2381

For further information about studies of program effectiveness,

Contact: Dr. Emmett Fleming
(202) 245-8380

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Early Childhood Education

Legislation:

P.L. 91-230, Part C of EHA
Section 623, Early Education
for Handicapped Children

Expiration Date:

September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1969	$ 1,000,000	$ 945,000
	1970	10,000,000	4,000,000
	1971 1/		7,000,000
	1972 2/	7,500,000	
	1973 3/		12,000,000
	1974 4/		12,000,000
	1975	25,500,000	14,000,000
	1976	36,000,000	22,000,000
	1977	38,000,000	22,000,000
	1978	25,000,000	22,000,000
	1979	25,000,000	22,000,000
	1980	25,000,000	20,000,000

Program Goals and Objectives:

This program was designed to build the capacity of State and local educational agencies to provide comprehensive services for handicapped pre-school children (birth through 8 years of age). The program supports demonstration and outreach projects in an attempt to accomplish this purpose. The Federal strategy is to (1) work cooperatively with States, through public and private non-profit agencies, (2) demonstrate a wide range of educational, therapeutic and coordinated social services in order to help establish competent State and local programs. Projects are expected to demonstrate the highest quality of available early education practices for handicapped children.

The following project strategies are used to facilitate the success of this program:

1/ thru 4/ Totals of $36,500,000 in 1971, $51,500,000 in 1972, and $66,500,000 in 1973, were authorized for Part C, EHA, which includes early childhood projects, regional resource centers, and deaf-blind centers. The 1973 authorization was extended through 1974 by virtue of the one-year extension contained in GEPA.

- Demonstration projects which are designed to develop service models based on current outstanding practices.

- Outreach Projects which are designed to disseminate model programs for replication.

- State implementation projects which are designed to assist States in implementing part(s) of their respective early childhood state plans.

- Early Childhood Institute which support long-term research into the complex problems of young handicapped children.

In an effort to disseminate high quality information and to develop effective management practices contracts are awarded to provide additional technical assistance to projects. And in an effort to investigate specific areas of early childhood education for the handicapped with direct application to typical educational settings, contracts are awarded for experimental projects.

Program Operations:

This program authorized under Part C, Section 623, of the Education of the Handicapped Act provides grants and contracts annually on the basis of national competition. Each model demonstration project is approved for a three-year period, but receives second and third year funding on the basis of successful performance and availability of funds; each outreach project is approved for generally a three-year period, but receives second and third year funding on the basis of successful performance and availability of funds; and each state implementation grant is generally approved for a two-year period, but recieves second year funding on the basis of successful performance and availability of funds.

The demonstration projects developed under this program include the following components:

- Developing and demonstrating (1) services for young children with handicaps; and (2) assessment procedures for evaluating the progress of children.

- Providing services to parents and family members including counseling and emotional support, information, opportunities for observation, practice and training, home carryover and involvement in project planning and evaluation.

- Providing inservice training to increase volunteer, paraprofessional, and professional staff effectiveness.

- Coordination with other agencies, especially the public school.

- Disseminating information to professionals and to the general public concerning comprehensive programming for young children with handicaps.

- Evaluating the effectiveness of project components to document the effectiveness of the project.

Program Scope:

According to program data, approximately 1,000,000 preschool children (ages birth through eight years) have handicapping conditions. Approximately 30% of these children are being served in varying degrees through demonstration and outreach projects, Head Start and day care programs, public education programs and through State-supported activities.

This capacity building program will complement the main service efforts required of States and LEA's under P.L. 94-142. This strategy is implemented through the following types of projects: Demonstration projects provide for the direct support of initiating services and model development at the local level; outreach projects, working with the models of validated projects, disseminate information and emphasize the replication of their models in new locations, including working at the local and state levels; state implementation projects provide support in the implementation of statewide plans to provide appropriate educational services to all preschool handicapped children in accordance with the provisions of P.L. 94-142; technical assistance projects aid in needs assessment, program management, self evaluation, and packaging of models to facilitate the efforts of the demonstration and state implementation projects; and the experimental projects develop and test new ideas for education of young handicapped children and test the effectiveness of these new approaches in typical educational settings.

During FY 79 this program supported approximately 205 projects. Projects funded included: 118 new and continuation demonstration projects; 59 new and continuation outreach projects; 22 new and continuation state implementation projects; 2 technical assistance projects; and 4 early childhood institutes.

It is anticipated that the FY 79 appropriation (which will be spent in FY 80) will support 198 projects including 118 new and continuation demonstration projects, 49 new and continuation outreach projects, 25 new and continuation state implementation projects, 2 technical assistance projects, and 4 experimental projects. In addition, 5 BEH/OCD collaborative projects will be undertaken.

Program Effectiveness and Progress:

FY 77 program data indicated direct impact through the demonstration and outreach activities as follows:

- approximately 10,000 preschool handicapped children and their families received services through the demonstration projects and the demonstration-continuation sites at outreach projects.
- over 39,000 personnel were trained to work with handicapped preschoolers.
- approximately 50,000 were served in projects developed or stimulated by HCEEP assistance (over 13,000 children and their families were served by sites replicating HCEEP model components and receiving outreach assistance).
- over 600 sites in the 50 states replicated model components and received outreach assistance.

A formal evaluation of the program was conducted by the Battelle Columbus Laboratories from Septermber 1973 to June 1976. Analysis indicated a positive program impact in the personal-social, adaptive, cognitive, and communications growth areas (the greatest impact on "Personal-Social development"). Of all the handicap groups, educable mentally retarded appeared to show the greatest overall gain as did children with longer treatment periods. For all handicap groups, there was no significant impact on motor development. Additionally, projects that had medium child-staff ratios (i.e., 4.8 to 6.8.1), that were home based (as contrasted with center-based), and that had developed and used their own curriculum materials appeared to have the greatest impact on handicapped children.

A follow-up study to determine where graduates of these projects were placed indicated that about two-thirds of the graduates were placed in regular school classes or regular school classes with ancillary special education services. Three quarters of the graduates studied went to public schools.

An informal survey of projects first funded in FY 1969 indicates that 80% of those programs continued in some manner with non-HCEEP monies. Of those 80%, approximately half had expanded the number of children served, the scope of their services, or both. This informal survey was conducted during the summer of 1978.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

1. Bureau of Education for the Handicapped programmatic data.

2. "Evaluation of the Handicapped Children's Early Education Program," Battelle Memorial Institute. Completed June, 1976.

For further information about program information,

Contact: Slagle Allbritton
(202) 245-2381

For further information about studies of program effectiveness,

Contact: Dr. Emmett Fleming
(202) 245-8380

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Severely Handicapped Projects

Legislation: Expiration Date:

P.L. 91-230, Part C of EHA
Section 624

September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1974	1/	$ 2,247,000
	1975	2/	2,826,000
	1976	2/	3,250,000
	1977	3/	5,000,000
	1978	3/	5,000,000
	1979	3/	5,000,000
	1980	3/	5,000,000

Program Goals and Objectives:

The goal of this program is to establish and promote effective innovative practices in the education and training of severely handicapped children/youth. Demonstration projects funded under this program are designed to develop and refine identification, screening, diagnostic, and prescriptive procedures; and instruments; develop, demonstrate, and refine model curriculum, methodology, and educational materials; and package and disseminate model project findings and products such as curriculum guides and educational materials.

The ultimate educational and training goal for severely handicapped children is to provide appropriate self-development experiences to this population. These experiences are designed with the objective of helping the severely handicapped reach their maximum potential of developing into self sufficient individuals in normalized, community/home/neighborhood environments.

1/ Funds in 1974 derived from Part C, Section 621 (Regional Resource Centers), Section 623 (Early Childhood Projects), and Part F (Media Services and Captioned Films). Total authorization for Part C in 1974 was $66,500,000; for Part F, $20,000,000.

2/ Funds in 1975 and 1976 derived from Part C, Section 621 (Regional Resource Centers), and Section 623 (Early Childhood Projects).

3/ Funds are authorized under Part C, Section 621.

This program is a major vehicle for the implementation of P.L. 94-142. Therefore, the Federal strategy is to eventually cover all States or sparsely populated multi-State regions with demonstrations appropriate to statewide needs.

Expected strategies in FY 80 will be to:

- o Fund projects for severely handicapped children/youth which target on (a) public school service facilitating social integration; (b) functional curricula across domestic living, recreational and commercial domains; (c) qualitative service improvement through innovative practices; and (d) deinstitutionalization into least restrictive environments.
- o Fund outreach projects which will demonstrate and replicate information and findings of existing technology in education of the severely handicapped.

Program Operations:

To accomplish the objectives of this program, contracts are awarded competitively on a 1-year basis, with continuation funding for a second and third year based upon the project's effectiveness, replicability, and availability of funds. Eligible contractees are State departments of education, intermediate or local education agencies, institutions of higher education, and other public or nonprofit private agencies.

Program Scope:

Program data (FY 78) indicate that approximately 388,200 severely handicapped children receive some services from Federal, State and private sources. Program staff estimate that there are 1,404,948 severely handicapped children (ages 0-19) in the Nation. Of these children, 465,000 are severely or profoundly mentally retarded; and 905,000 are seriously emotionally disturbed (e.g., autistic or schizophrenic) and 34,948 have multiple handicaps.

Comparative statistics prepared by OE indicate that the total number of severely handicapped children needing specialized services has remained fairly constant over the past 6 years. The least severely handicapped are gradually being integrated into less restrictive service environments, but past decreases have been offset by an increase in the number of severely handicapped children identified as needing specialized services.

In FY 78, 41 projects were funded, 35 of these were continuation awards, and 6 were new project awards. Approximately 3,120 severely handicapped children participated in projects funded by this program.

States have historically failed to make educational services available to all severely handicapped children. With the passage of P.L. 94-142 the number of unserved handicapped children has been significantly reduced. This law has required that if a State receives Federal financial aid under this act the State must provide free, appropriate public education (FAPE) to all handicapped children ages 3-18 by September 1978, and to all children between 3 and 21 by 1980, to the extent allowable by State law or practice. According to Federal law, all States are required to give the second highest priority to providing a FAPE to all severely handicapped children within each disability group.

In fiscal year 1979, 31 projects have been continued at a cost of $4,280,000, while 6 new awards are anticipated to be made at a cost of $720,000. Four projects will have applied for OE validation as exemplary demonstration models. Approximately 3,290 children will participate in programs during FY 79.

Ongoing and Planned Evaluation Studies:

None

Source of Evaluation Data:

Bureau of the Education of the Handicapped program information.

For further information about program information,

Contact: Slagle Allbritton
(202) 245-2381

For further information about studies of program effectiveness,

Contact: Dr. Emmett Fleming
(202) 245-8380

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Regional Education Programs

Legislation:

P.L. 91-230, Part C, Section 625,
Regional Education Programs

Expiration Date:

September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	$ 1,000,000	$ 575,000
	1976	1/	2,000,000
	1977	1/	2,000,000
	1978	10,000,000	2,400,000
	1979	12,000,000	2,400,000
	1980	14,000,000	2,400,000

Program Goals and Objectives:

The purpose of the program is to enhance the acquisition by handicapped students of skills for successful career competition in the professional, skilled and unskilled labor markets. Institutions of higher education, including junior and community colleges, vocational and technical institutions, and other appropriate non-profit educational agencies are eligible to receive awards for the development and operation of specifically designed or modified programs of vocational, technical, postsecondary, or adult education for deaf or other handicapped persons.

Program Operations:

Grants or contracts may be awarded to institutions of higher education, including junior and community colleges, vocational and technical institutions, and other appropriate nonprofit educational agencies. These grants and contracts are awarded for the development and operation of specially designed or modified programs of vocational, technical, postsecondary, or adult education for deaf or other handicapped persons. Priority consideration is given to:

- Programs serving multi-State regions or large population centers.

1/ Such sums as become necessary.

- o Programs adapting existing programs of vocational, technical, post-secondary, or adult education to the special needs of handicapped persons.

- o Programs designed to serve areas where a need for such services is clearly demonstrated.

Program Scope:

In FY 78 a total of 13 programs were funded, 12 of which were noncompeting continuations. The funding level for the programs was determined by the nature and scope of services provided and the types of handicapping conditions addressed. The total number of handicapped persons served was 2,654, of whom 800 were mentally retarded and 786 were deaf or hard of hearing.

In FY 79, technical assistance projects designed to increased awareness of the need for modifying continuing education programs to benefit the handicapped were continued. Seven projects from FY 78 were continued. Two new projects were supported.

The types of services provided were: tutoring, counseling, recreational, notetaking, interpreting, wheelchair/personnel attending, and adapting instructional media in order to meet the unique needs of the handicapped. It is estimated that of the 3,500 handicapped persons participating in FY 79 over 95 percent are employed in positions commensurate with their abilities.

Ongoing and Planned Evaluation:

None

Source of Evaluation Data:

Bureau of Education for the Handicapped programmatic information.

For further information about program information,

Contact: Slagle Allbritton
(202) 245-2381

For further information about studies of program effectiveness,

Contact: Dr. Emmett Fleming
(202) 245-8380

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Special Education Manpower Development

Legislation:

P.L. 91-230, Part D Sections 631, 632, and 634 of EHA, Training Personnel for the Education of the Handicapped

Expiration Date:

September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1966	$ 19,500,000	$ 19,500,000
	1967	29,500,000	24,500,000
	1968	34,000,000	24,500,000
	1969	37,500,000	29,000,000
	1970	57,000,000	35,610,000
	1971 1/		32,600,000
	1972 2/		34,645,000
	1973 3/		39,660,000
	1974 4/		39,615,000
	1975	45,000,000	37,700,000
	1976	52,000,000	40,375,000
	1977	50,000,000	45,375,000
	1978	75,000,000	45,375,000
	1979	80,000,000	57,687,000
	1980	85,000,000	55,375,000

Program Goals and Objectives:

The objective of this program is to ensure an adequate supply of educational personnel competent to deal with the special educational problems of the handicapped. This program provides financial assistance to train special and regular classroom teachers, supervisors, administrators, researchers, teacher educators, speech correctionists, and other special service personnel such as specialists in physical education and recreation, music therapy, and paraprofessionals. Persons trained under this program come from a variety of professional backgrounds. Training is not limited to persons with a background in education.

1/ thru 4/ A total of $69,500,000 in 1971, $87,000,000 in 1972, and $103,500,000 in 1973 was authorized for Part D, EHA. The 1973 authorization was extended through 1974 by virtue of the one-year extension contained in GEPA.

Program Operations:

In order to accomplish the objectives of this program, the program awards grants to institutions of higher education, State education agencies, local education agencies, and other appropriate nonprofit agencies. Grantees are placed on a 3-year cycle system. A third of the States and territories apply for new cycles each year. A series of 12 priorities are used on a preservice and inservice basis. The system allows for funding allocations based on various priorities of differential needs such as stipends, faculty salaries, or curriculum development. All awards are made on a 12 month basis and the program is forward funded with the minimum award being $1,000 and the average award approximately $60,000.

Through this program financial assistance is given to individuals for preservice training; i.e., full-time students specializing in special education. Additionally, inservice training is a major priority for both regular education teachers and for special education personnel.

Program Scope:

During FY 79 the program provided pre-service training for 7,174 special educators and support personnel for both regular and special education at a cost of $28,517,000. It also provided inservice training for 21,131 special educators and 63,684 regular educators. With FY 79 program funds the following activities were carried out:

1) Preparation of Special Educators:

- Inservice and preservice training for education specialists serving handicapped children aged birth through 6 years. Many trainees work with handicapped children in regular educational programs upon graduation.

- Train special education personnel to serve the severely and multi-handicapped (including emotionally disturbed and autistic) and/or to meet national and regional needs for low incidence target groups. P.L. 94-142 requires provision of appropriate education for the most severely handicapped child, within each disability.

2) Preparation of Support Personnel for Regular and Special Education:

- o Train paraprofessionals to assist both special educators and regular classroom teachers.
- o Train specialists in physical education or therapeutic recreation to integrate appropriate techniques into a child's overall education program. These additional types of services are required so that many handicapped children can function in a regular classroom situation for at least a part of each day.
- o Prepare specialists from various related fields, such as the health and social sciences to integrate educational information, methodology and practices for the handicapped child into their support functions.
- o Provide training in handicapping conditions so that specialists will be effective in providing services to the handicapped.
- o Train personnel in vocational and career education to provide programs for the handicapped or to include them in their regular programs.
- o Support programs designed to recruit and train parents and other volunteers to work in education programs for the handicapped.

3) Special Education Training for Regular Education Teachers:

Provide special education training to personnel preparing for regular classroom teaching and administration; and provide inservice training for regular classroom personnel already in the field. P.L. 94-142 specifies that handicapped children be placed in th"least restrictive environment." Large numbers of regular room personnel are encountering handicapped childrentheir classrooms. The need for training continues to increase. Programs may include supportive services from special education personnel who work with handicapped children.

4) Instructional Models:

Two activities are funded which train personnel and which develop new models of instruction for the preparation of personnel who teach the handicapped. The activities are (1) the support and development of post doctoral training programs; (2) the identification and dissemination of cost-effective training models.

Program Effectiveness and Progress:

Program estimates based on P.L. 94-142 Annual Program Plans preapred by each State indicate that in order for the educational system to meet its full service commitment, an additional 61,000 specially-trained teachers were needed for September 1978. This did not consider attrition, only known vacancies.

The P.L. 94-142 specification that handicapped persons be placed in the least restrictive educational environment has resulted in increasing number of regular classroom teachers encountering handicapped children. Current emphasis is being placed upon institutions of higher education (IHE) Deans Grants, changing elementary and secondary curricula to improve the capability of regular classroom teachers to work effectively with children with handicapping conditions. The training is expected to emphasize:

- knowledge of the handicapped including attitude and awareness training
- teaching methodologies used with handicapped children
- classroom management skills
- utilization of specialized and ancillary personnel to provide support services

Ongoing and Planned Evaluation Studies:

A study of the effectiveness of projects providing inservice training to regular classroom teachers will begin in FY 1980.

Source of Evaluation Data:

Bureau of Education for the Handicapped program information.

For further information about program information,

Contact: Slagle Allbritton
(202) 245-2381

For further information about studies of program effectiveness,

Contact: Dr. Emmett Fleming
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Recruitment and Information

Legislation:	Expiration Date:
P.L. 91-230, Part D of EHA Section 633, Recruitment of Educational Personnel and Information Dissemination	September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1966		
	1967		
	1968		
	1969	$ 1,000,000	$ 250,000
	1970	1,000,000	475,000
	1971 1/		500,000
	1972 2/		500,000
	1973 3/		664,000
	1974 4/		500,000
	1975	500,000	500,000
	1976	500,000	500,000
	1977	1,000,000	1,000,000
	1978	2,000,000	1,000,000
	1979	2,000,000	1,000,000
	1980	2,500,000	1,000,000

Program Goals and Objectives:

This program is designed to encourage people to enter the field of special education, to disseminate information and provide referral services for parents of handicapped children, and to assist them in their attempts to locate appropriate diagnostic and educational programs for their children.

Program Operation:

This program operates by providing non matching grants or contracts to public or nonprofit private agencies, organizations, or institutions with the requirement that such funds be used for:

1/ thru 4/ A total of $69,500,000 in 1971, $87,000,000 in 1972, and $103,500,000 in 1973, was authorized for Part D, EHA. The 1973 authorization was extended through 1974 by virtue of the one-year extension contained in GEPA.

- Encouraging students and professional personnel to work in various fields of education of handicapped children and youth through developing and distributing innovative materials to assist in recruiting personnel for such careers, and by publicizing information about existing forms of financial aid which might enable students to pursue such careers.

- Disseminating information about the programs, services, and resources for the education of handicapped children, or providing referral services to parents, teachers, and other persons especially interested in the handicapped.

Program Scope and Effectiveness:

Implementation of the Education for All Handicapped Children Act (P.L. 94-142) has resulted in a significant number of inquiries about education for the handicapped. To promote a greater awareness of the availability of services for the handicapped, the $1 million appropriation in 1979 went to:

- Continue funding 8 local information units to assure that referral and information services are accessible to any and all handicapped children and their parents.

- Conduct three workshops in geographically strategic areas of the country for the purpose of orienting as many people as possible about the functions/responsibilities for all parents who wish to attend and provide training for those parents who may be operating a local unit.

- Develop, produce and distribute information generated by parents to be used by all persons interested in providing services for the handicapped.

- Continue development of information packages for Indians, the disadvantaged, those of limited-English speaking ability, and the geographically isolated.

- Continue operation of the Information Clearinghouse which develops, produces and distributes informational packets on available services for the handicapped. Recipients of this information include the handicapped, parents of the handicapped, or any other persons who may be interested in finding out what is available for the handicapped.

- o Continue to reach a concerned constituency through the Closer Look Report which circulates about 175,000 copies yearly.

Of the 12 projects funded in fiscal year 1978, 3 are new awards and 9 are continuations. The new awards increase the number of local information units from 5 to 8. Those activities continued from FY 77 are: a contract for an information clearinghouse, a contract for three parent workshops, grants to these information units, and a contract to advertise the services of the clearinghouse (media outreach campaign). There were 13 awards made with FY 79 funds.

Ongoing and Planned Evaluation Studies:
None

Sources of Evaluation Data:

Bureau of the Education for the Handicapped program information.

For further information about program information,

Contact: Slagle Allbritton
(202) 245-2381

For further information about studies of program effectiveness,

Contact: Dr. Emmett Fleming
(202) 245-8380

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Innovation and Development

Legislation:

P.L. 91-230, Part E of EHA, as amended by P.L. 95-49 Section 641, 642, Research in the Education of the Handicapped

Expiration Date:

September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1964	$ 2,000,000	$ 2,000,000
	1965	$ 2,000,000	$ 2,000,000
	1966	6,000,000	6,000,000
	1967	9,000,000	8,000,000
	1968	12,000,000	11,100,000
	1969	14,000,000	12,800,000
	1970	18,000,000	13,360,000
	1971	27,000,000	15,300,000
	1972	35,500,000	15,755,000
	1973	45,000,000	9,916,000
	1974		9,916,000
	1975	15,000,000	9,341,000
	1976	20,000,000	11,000,000
	1977	20,000,000	11,000,000
	1978 [1]	20,000,000	20,000,000
	1979	22,000,000	20,000,000
	1980	24,000,000	20,000,000

Program Goals and Objectives:

Innovation and development activities attempt to improve the effectiveness and efficiency of the educational system and its provisions for handicapped children by supporting the development and validation of new service models, by packaging information in usable form, and by systematically disseminating this information.

---

[1] As of FY 1978 projects previously funded under the Specific Learning Disabilities program are funded under the Innovation and Development program, accounting for the substantial increase in appropriation.

Program Operations:

This program is concerned about improving educational opportunities for handicapped children through support of decision-oriented research and related activities. Support includes grants or contracts for research, surveys, or model demonstrations relating to education of handicapped children. Additionally, grants are made for similar activities relating to physical education or recreation for handicapped children. Activities are integrated in a planned pattern to support teacher training and the special service functions of the total Federal program for handicapped children.

Grants and/or contracts are made to State or local educational agencies, institutions of higher education, and other public or private educational or research agencies and organizations. Awards are made based on national competition. Projects are approved for periods ranging from 1 to 5 years. Generally awards are made for one year with continued funding based on quality performance and availability of funds.

Program Scope:

In FY 79 120 research projects were supported; of these 57 were new efforts and 63 were continuations of projects begun in previous years. These projects support the following types of program activities; programs for orthopedic and otherwise health impaired children, hearing impaired children, programs for the mentally retarded, programs for speech impaired, visually impaired, emotionally disturbed, learning disabled, and other programs classified as noncategorical. The largest expenditure was allocated to noncategorical programs. The interest in nondiscriminatory testing and in attitudinal research was especially noteworthy in 1979.

In addition to the research projects this program supported 71 projects. Twenty-seven were new projects and 44 were non-competitive continuation awards. Seventy of these projects supported model demonstration centers, and one provided technical assistance in demonstration techniques. Increased interest in secondary level programs was a feature of the 1979 program.

During FY 79 the Innovation and Development program will have distributed over 50 products relating to the education of handicapped children and an equal number of publications in professional journals. Validated curriculum materials designed specifically for the speech and hearing impaired and mentally retarded will also be available.

Ongoing and Planned Evaluation Studies:

None

Source of Evaluation Data:

Bureau of the Education of the Handicapped program information.

For further information about program information,

Contact: Slagle Allbritton
(202) 245-2381

For further information about studies of program effectiveness,

Contact: Dr. Emmett Fleming
(202) 245-8380

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Media Services and Captioned Films

Legislation:

P.L. 91-230, Part F of EHA
Instructional Media for the
Handicapped, Sections 652 and 653;
as amended by P.L. 93-380, and
P.L. 94-142

Expiration Date:

Indefinite

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1966		
	1967	$ 3,000,000	$ 2,800,000
	1968	8,000,000	2,800,000
	1969	8,000,000	4,750,000
	1970	10,000,000	6,500,000
	1971	12,500,000	6,000,000
	1972	15,000,000	6,000,000
	1973	20,000,000	13,000,000
	1974	20,000,000	13,000,000
	1975	18,000,000	13,250,000
	1976	22,000,000	16,250,000 1/
	1977	22,000,000	19,000,000
	1978	24,000,000	19,000,000
	1979	25,000,000	19,000,000
	1980	27,000,000	19,000,000

Program Goals and Objectives:

This program supports grants or contracts for the purpose of providing special educational materials to handicapped learners. Educational materials are produced and distributed for use by the handicapped, their parents, actual or potential employers, and other interested persons in order to meet this objective. Program funds are used to caption and distribute films and other visual training media to assist deaf persons and to train persons in the techniques of using educational media for instructing the handicapped. Additionally, media development centers are funded to conduct research for advancing the art of developing appropriate educational media for the handicapped.

1/ In April 1975, litigation was settled which resulted in the release of $12,500,000 appropriated under the 1973 Continuing Resolution. Of these funds, $1,012,332 was used in the Media Services and Captioned Films program during fiscal year 1976, increasing obligations over 1976 by that amount.

Program Operations:

To accomplish program objectives, a loan service has been established for captioned films for the deaf and related educational media for the handicapped. Educational materials are made available in the United States for nonprofit purposes to handicapped persons, parents of handicapped persons, and other persons directly involved in activities for the advancement of the handicapped. Activities permissible for this purpose include: the acquisition of films and other educational media for purchase, lease or gift; acquisition by lease or purchase of equipment necessary for the administration of the above. Contracts are provided for the captioning of films and for the distribution of films and other educational media and equipment through State schools for the handicapped and other appropriate agencies which serve as local or regional centers for such distribution. Additionally, grants or contracts provide for research in the use and production of educational and training media. Provisions are made for the distribution of the materials, for utilizing the services and facilities of other governmental agencies and for accepting gifts, contributions, as well as voluntary and uncompensated services of individuals and organizations. Projects are approved for periods of up to 36 months; however, awards are made annually, with renewals funded on the basis of a project's effectiveness, the replicability of its elements and availability of funds.

Program Scope:

In FY 78 Educational Media and Materials Centers were funded for the severely handicapped and the hearing impaired. The legislatively mandated centers provided support for the design, adaptation, development and production of media and materials geared to the unique learning problems of these populations. Eleven awards were made to ensure that products developed for the handicapped were distributed to the consumers and 31 grants were awarded to provide for research, development, and production in the utilization of educational technology to further advance this field. In addition, Captioned Films distributed to deaf adults and to schools and classes for the deaf reached approximately 4,000,000 deaf persons of all ages. Captioned television news reached an estimated 6 million persons daily per broadcast from over 140 stations including American Samoa. During FY 78 the following types of activities were supported under this program:

- Educational Media and Materials Centers
- Captioned Films for the Deaf
- Captioned Television and Telecommunications
- Marketing and Implementation Activities
- Recordings for the blind
- National Theatre of the Deaf
- Grants for the Development of Educational Technology

During FY 79 this program provided approximately the same level of program activities as in FY 78. A total of 130 awards will be made to support:

1) Educational Media and Materials Centers: These centers which were first funded in FY 77 in response to congressional interest were continued. Emphasis was on the systematic delivery of educational technology to special populations through the design and/or adaptation, development, and production of appropriate education materials. The centers also provided training in the selection and use of these materials and promoted the utilization of materials available for circulation.

2) Marketing and Implementation Strategy: 35 awards were made to continue the development of a marketing and implementation program to assure that models of curricula and materials designed for the handicapped are widely distributed among handicapped consumers. This activity is expected to have helped promote testing and development of promising prototypes of educational devices for production models.

   The dissemination of Optacons for the blind were continued. This is a device, developed with Federal funds, to enable blind persons to read print. The production of custom-made tape copies of textbooks for distribution to blind elementary and high school students was also continued.

3) Captioning and Recording: A total of 60 awards were made to continue the adaptation, development, production and distribution of devices incorporating the most recent technological and telecommunicative advancements in television and recording. The program captions programs for the deaf and develops new television programming for the handicapped, and develops educational programming for parents of the handicapped. Support for the production of recordings for the blind and print-handicapped was continued.

4) National Theatre of the Deaf: Support continued for the National Theatre of the Deaf. This Theatre serves as a talent center for activities in theatre arts, providing vocational, educational, cultural and social enrichment for the deaf.

5) Grants Program for Media Research and Development: An estimated 30 awards were made. Activities focus on research to identify and meet the full range of special needs of the handicapped relative to educational materials and technology. Included are demonstrations of new or improved methods, approaches, or techniques which are designed to assist handicapped individuals adjust to their disability. Additionally, the creation or adaptation of media and technology to aid the handicapped are supported by this program. The media or technology are designed for use by handicapped persons, their parents, actual or potential employers, and others who are involved with the handicapped.

Ongoing and Planned Evaluation Studies:

None

Source of Evaluation Data:

Bureau of the Education of the Handicapped program data.

For further information about program infomration,

Contact: Slagle Allbritton
(202) 245-2381

For further information about studies of program effectiveness,

Contact: Dr. Emmett Fleming
(202) 245-8380

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Special Studies

Legislation:

Section 618 of Part B of EHA, as added by P.L. 94-142

Expiration Date:

Indefinite

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1977	1/	$ 1,735,000
	1978	1/	2,300,000
	1979	1/	2,300,000
	1980	1/	1,000,000

Program Goals and Objectives:

The purpose of this program is to measure and evaluate the provision by States to all handicapped children of a free, appropriate public education as required by the Education of All Handicapped Children Act of 1975, P.L. 94-142. Section 618 mandates that evaluation activities be undertaken. Studies conducted under this program will provide the basis for a comprehensive, reliable and valid information system pertaining to the provisions in this law. Activities completed by this program will enable the Commissioner to meet legislative requirements to assess the implementation, impact, and effectiveness of P.L. 94-142. This should better enable the Federal Government to provide technical assistance to promote accountability by the State and local education agencies. Since the Commissioner must report to Congress annually on the progress made toward meeting the full educational opportunities goal specified in P.L. 94-142, these studies provide a foundation for that report.

Program Operations:

The Commissioner shall conduct directly, or by grant or contract studies to accomplish the goal of this program.

Program Scope:

Studies funded focus around the following questions:

o Are we serving the intended beneficiaries?

o Where are the beneficiaries being served?

1/ Such sums as become necessary.

- o What services are being provided to children?
- o Do services provided meet the intent of the law?
- o What administrative mechanisms are in place?
- o What are the consequences of implementing the law?

Studies underway in FY 79 include the following:

1. Description and evaluation of the special education and related services available and provided to handicapped children. This national survey investigates many issues such as the availability of services at the secondary level as compared to the elementary level.

2. Assessment of the impact of special education on handicapped students. This study examines student turnover between special and regular education.

3. Description and evaluation of practices for the assessment of handicapped children. This national survey describes current practices and variation in practices in the assessment of handicapped children. The information allows evaluation of the soundness of assessment procedures.

4. Assessment of individualized education programs. This national survey describes individualized education programs and determines the extent to which they contain mandated information.

5. Evaluation of the impact of P.L. 94-142 on the child and family. These case studies provide an in-depth picture of the impact of the law at the individual level.

6. Assessment of procedures used to determine least restrictive environment placements. This study describes and assesses placement procedures recommended by the states, used by local school districts, and applied by courts and state hearing officers.

7. Description and evaluation of progress in implementing P.L. 94-142. This longitudinal study investigates implementation, impact and effectiveness of P.L. 94-142 provisions such as due process.

Several new studies are under consideration for FY 1980 but final approval of these studies has not yet been obtained.

Ongoing and Planned Evaluation:

An evaluation of this program is not planned.

Sources of Evaluation Data:

Bureau of Education of the Handicapped program data.

For further information about program information,

Contact: Slagle Allbritton
(202) 245-2381

For further information about studies of program effectiveness,

Contact: Dr. Emmett Fleming
(202) 245-8380

I. OCCUPATIONAL, ADULT AND CAREER EDUCATION

OVERVIEW

Occupational, Adult and Career Education

The major programs in this area are those authorized by the Vocational Education (VE), Adult Education (AE), and Career Education Incentive (CEI) Acts, which, with the exception of the CEIA, are administered by the Bureau of Occupational and Adult Education. The CEIA is administered by the Office of Career Education.

By far the largest source of support for activities in this area comes from VEA Programs where the appropriation for FY 1979 was $674,453,000. The purpose of Vocational Education is to help individuals bridge the gap between education and work by providing the knowledge and training needed for specific occupations. Currently, funding for Federal vocational education programs is of two basic types:

Formula Grants to States

Allocated on a formula basis, these constitute grants to States to assist them to maintain, extend and improve existing programs of vocational education; to develop new programs of vocational education; and to provide part-time employment for youths who need the earnings from such employment to continue their vocational training on a full-time basis, so that persons of all ages will have ready access to vocational training or retraining which is of high quality.

Funds are distributed through three separate authorities - Programs for the Disadvantaged, Basic Grants to States, and Consumer and Homemaking, the largest of which is Basic Grants for which $474,766,000 was appropriated in FY 1979.

Discretionary Programs

There are three programs through which grants and/or contracts are awarded at the discretion of the Commissioner. These are Programs of National Significance (research, demonstration, and development projects), the Program for Indian Tribes and Organizations, and the Bilingual Vocational Training Program.

Evidence of effectiveness. A sevenfold rise in public outlays for vocational education during the last decade has increased enrollments to the point that now more than 1/3 of the Nation's high school students take vocational subjects. While it is true that initial Federal expenditures on vocational education in 1963 provided an impetus to State and local spending in the same area, no studies have been conducted to determine whether the Federal program continues to provide this impetus. Though it is widely believed that Federal dollars no longer catalyze the expenditure of State/local funds for several vocational education programs because of the large State/local overmatch, Federal set-asides for national priority groups do have some catalytic effect. For example, set-asides for the disadvantaged and handicapped have increased the number of programs for these groups. No evidence is available on whether the postsecondary set-aside is responsible for the doubling of postsecondary vocational enrollments (e.g., in community colleges) since 1970.

Measurement problems and interpretation ambiguities make it difficult to characterize vocational education and its Federal support as either a success or failure. One problem is that employment is not the primary objective of all vocational students. Another is that economic conditions probably much more powerfully influence employment among youth than curriculum choice. Despite these limitations, there are some useful data from four national longitudinal studies that provide a sufficiently long time-frame to assess employment outcomes for vocational education graduates. (Local/State studies are flawed because of lack of enough follow-up and inability to control for local economic fluctuations and mobility of graduates.)

o Taken together, the longitudinal studies suggest that secondary vocational education creates no labor market advantages for its graduates, except in the case of young women in office occupations who, compared to other graduates, experience fewer spells of unemployment, have higher hourly wages, and work in jobs related to their training. Other vocational graduates get jobs not too unlike non-vocational graduates within 3 years after graduating, experience similar rates of pay and unemployment, have similar degrees of job satisfaction, are no more knowledgeable about occupations than non-vocational students, are as likely to drop out as other students, are less likely than other graduates to continue formal education in colleges and universities but as likely to obtain additional occupational training. Post-school training (outside of colleges) pays off more for vocational graduates than for other graduates.

- Because secondary vocational students have lower aptitude test scores and tend to come from poorer families than other students, many assume that these students would lose interest in school if vocational education were not available. This hypothesis has never been tested, however.
- Other studies which include data on postsecondary students indicate that such students are more likely to enter training-related jobs.

A mandated study of sex discrimination and stereotyping in vocational education was recently completed. The study's finding was that, while overt discrimination, such as rules denying admission on the basis of sex, has been reduced, over 60% of State and local staff reported that practices which discourage students from entering non-traditional areas are most in need of change.

Few programs were identified at the school level which fostered equity -- particularly student-oriented activity. Although societal factors outside the school exert powerful influences on aspirations of youth, study findings indicate that -- in those few programs identified -- the school can have an impact. Data show a strong positive correlation between the level of equity activity in a school and the proportion of non-traditional enrollment in that school.

Preliminary findings from a study of the impact of bilingual training programs indicate that enrollees are primarily foreign-born. About 60% of the students have had no previous schooling in the United States or in a setting where English was the medium of instruction. About 34% were unemployed and seeking work before they entered training. Of those working, one-third earned less than the minimum wage. Fewer than 30% of those in the labor market earned $160 or more per week during the year prior to training. These and other data from this mandated study indicate that generally the program is reaching the target population defined in the Law.

While VEA programs are intended to support training in specific occupational skills and are primarily focused at the secondary and postsecondary levels, the emphasis of carrer education is on building a broad understanding of different types of work at the elementary level with later development of decision-making skills in relationship to exploration of appropriate occupations. Originally, the Career Education Program was authorized by the Special Projects Act (P.L. 93-380), primarily as a development and demonstration program. In December 1977 the Career Education Incentive Act, Public Law 95-207, was passed. This Act authorizes formula grants to assist States in implementing Career Education in local schools. It also continues the Commissioner's discretionary authority to make demonstration grants to State and local agencies and to post-secondary institutions, although this part of the Act is not being implemented in Fiscal 1979.

Special attention has been given to evaluation during the development of the Career Education Prgram. Several projects have focused on the development of techniques for obtaining evidence of the effectiveness of various career education activities. One such project initiated a search for ten activities which had already been evaluated locally and had evidence of effectiveness which would meet the high standards of the Education Division's Joint Dissemination Review Panel. Of the ten projects submitted to the Panel, seven were approved. These activities covered various grades from K through 12 and were located in six different States, thus suggesting that many career educators are accomplishing their objectives. However, analyses of the 257 written evaluations reviewed during this project showed two major problems: (1) the designs often did not permit the outcomes to be attributed directly to a specific career education activity, and (2) few local evaluators structured their data-gathering efforts to permit comparisons between participating (treatment) students and non-participants (controls).

All of the States and Territories have now developed plans for implementing Career Education. Support was provided for developing almost all of these plans under P.L. 93-380, and support for implementation will be provided under the new Incentive Act. An evaluation of 49 of the State plans was completed in May 1979, and results concerning a given State were provided to personnel in that State Department. Information about how to adapt State plans to meet the requirements of the new Act was also provided. Of the 49 States whose plans were evaluated, 28 voluntarily sent in revisions or additions to correct weaknesses. The plans were rated on ten elements using a scale of 1 (Weak) through 5 (Strong). The final ratings showed that 30 of the 49 State plans (61%) were rated adequate or better and only 3 plans were considered weak.

The Adult Education Program focuses on yet another aspect of the transition from school to the world of work. Specifically, this program provides support to the States for projects which will assist adults to obtain the basic skills (i.e., language and computation skills) necessary to function effectively in an occupation. A needs assessment, reported on in 1976, indicated that there is a substantial unmet need for basic adult education. Also, a survey of 43 States in 1977 indicated that there is a substantial projected savings to States (an average of about

$868,000 per State) when adult learners are able to relinquish public assistance.

The 1978 Amendments to the Adult Education Act mandate expansion in the definition of persons eligible for program services and in service delivery. Through the Grants to States Program of the Adult Education Act, over 90 million Federal dollars will be combined with State and local funds in 1979 in order to support more than 2,400 local projects serving approximately 1.6 million adults. The findings of a current study have noted a need for data on programs below the State level which could be used for program planning and monitoring purposes. This is a significant departure from previous evaluation efforts, but it is one that could provide a better explication of issues in adult teaching and learning.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education - Special Programs for the Disadvantaged

Legislation:	Expiration Date:
Vocational Education Act of 1963 as amended by Public Law 94-482 Part A, subpart 4	September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1969	$ 40,000,000	-0-
	1970	40,000,000	$ 20,000,000
	1971	50,000,000	20,000,000
	1972	60,000,000	20,000,000
	1973	60,000,000	20,000,000
	1974	60,000,000	20,000,000
	1975	60,000,000	20,000,000
	1976	60,000,000	20,000,000
	1977	35,000,000	20,000,000
	1978	45,000,000	20,000,000
	1979	45,000,000	20,000,000
	1980	50,000,000	20,000,000

Program Goals and Objectives:

Under Part A, subpart 4, funds are provided to assist States in conducting special programs for disadvantaged persons with academic or economic handicaps who require special services and assistance in order to succeed in regular vocational education programs. Funds shall be allocated within the State to areas of high concentration of youth unemployment and school dropouts. Services and programs may also be provided to eligible students in nonprofit private schools.

Program Operation:

Grants are allocated to the States by formula with no matching required. Special services and programs are provided so that the disadvantaged youth and adults can be mainstreamed into regular vocational programs, or where necessary, separate programs are provided. The target population includes: persons of minority ethnic backgrounds, inmates in correctional institutions, dropouts, persons in rurally isolated areas, persons in inner cities, migrants, persons with limited-English-speaking ability, the undereducated, and juvenile delinquents. Special services and programs are provided these youth and adults to encourage them to stay in school to acquuire the academic and occupational skills needed for successful employment or to continue to pursue their career preparation.

Special services include specially trained teachers in remedial and bilingual specialties, staff aides, additional counseling services, facilities accessible to a high concentration of these students, and instructional materials and equipment best suited to their needs and abilities.

Some of the areas where these funds have been expended are those where English is a second language, rural depressed communities, low-cost housing developments in the inner city, correctional institutions, and off-reservation locations with a predominance of American Indians.

Program Scope:

States reported 165,022 disadvantaged students received services or participated in programs designed to meet their needs in FY 1978 under the special funding. Of these students, 79,849 were at the secondary level, 24,845 were postsecondary, and 57,952 were at the adult level.

Program Effectiveness and Progress:

State reports do not describe the kinds of services available, the effectiveness of such services in improving student retention and completion in occupational training programs or other impact data.

Findings from the assessment of the disadvantaged set aside under State grant funds and the special needs categorical program are reported under the State grant evaluation. States generally used Special Needs funds for specific projects. Some States used this money for populations the States do not ordinarily serve, such as correctional inmates and school dropouts.

Ongoing and Planned Evaluation Studies:

NIE will continue to examine vocational services for the disadvantaged under their mandated study.

Sources of Evaluation Data:

Annual State Vocational Education Reports

State Advisory Committee Reports

Assessment of Vocational Education Students for Disadvantaged Students, Olympus Research Corporation, December 1976.

For further information about program operation,

Contact: Thomas L. Johns
(202) 245-8174

For further information about program effectiveness,

Contact: Dorothy Shuler
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education - Indian Tribes and Indian Organizations

Legislation:	Expiration Date:
Vocational Education Act of 1963 as amended by P.L. 94-482, Title I, Part A, Section 103 (a) (B) (iii)	September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION 1/
	1978	$ 8,360,000	$ 5,437,682
	1979	9,789,000	5,437,777
	1980	11,800,000	

Program Goals and Objectives:

Under this program, the Commissioner is authorized to award contracts to Indian tribal organizations and Indian tribes eligible to contract with the Secretary of the Interior for the administration of programs under the Indian Self-Determination and Education Assistance Act of 1975 or under the Act of April 16, 1934.

The tribal organization will plan, conduct and administer the vocational education programs. Awards will not exceed three fiscal years. Requests for continuation beyond the project period are considered competitively with all other applications.

Program Operation and Scope:

Twenty contracts were awarded to tribal organizations during the first year of funding. All but one of the contracts were funded for three years, with continuation funding contingent upon satisfactory performance. Third-party evaluations were funded as a part of each contract. Another 11 new contracts were awarded in FY 1979.

1/ P.L. 94-482 authorizes a one percent set-aside of funds from Subparts 2 and 3 (basic grant and program improvement) to support Indian projects.

The 30 programs funded under this authority generally support new vocational programs on Indian reservations where training opportunities have been very limited or install new occupational programs and/or supportive services in existing facilities. Most projects emphasize the need to bring training to Indians who cannot commute great distances and who cannot afford to leave home to attend schools.

Program Effectiveness and Progress:

Programs are in their first year of operation and preliminary data are insufficient to determine how well the programs are faring.

Ongoing and Planned Studies:

A short-term evaluation study is planned to meet the mandate under the Vocational Technical Amendments (P.L. 95-40), Section 103. The study will examine the extent to which these descretionary programs meet their stated objectives and describe how the vocational programs fit into and forward the economic development plans of the tribes. The study will also identify factors which inhibit or limit the operation of the programs as planned and will identify the key variables which appear necessary to provide programs of high quality. The study will use readily available information as to how the participants fared in terms of completing their training and finding employment.

Sources of Evaluation Data:

None

For further information about program operation,

Contact: Thomas L. Johns
(202) 245-8174

For further information about program effectiveness,

Contact: Dorothy Shuler
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education - Basic Grants to States

Legislation	Expiration Date
Vocational Education Act of 1963 as amended, 1968, Part B, and amended by P.L. 94-482, Part A, subparts 2 and 3	September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION 1/
	1965	$156,641,000	$156,446,000
	1966	209,741,000	209,741,000
	1967	252,491,000	248,216,000
	1968	252,491,000	249,300,000
	1969	314,500,000	248,316,000
	1970	503,500,000	300,336,000
	1971	602,500,000	315,302,000
	1972	602,500,000	376,682,000
	1973	504,000,000	376,682,000
	1974	504,000,000	405,347,000
	1975	504,000,000	420,978,000
	1976	504,000,000	415,529,100
	1977	450,000,000	441,382,275
	1978	880,000,000	537,833,000 2/
	1979	1,030,000,000	537,833,000
	1980	1,180,000,000	687,083,000

Program Goals and Objectives

This legislation assists States to improve planning in the use of all resources available to them for vocational education programs. It authorizes Federal grants to States for the following purposes: (1) to extend, improve, and, where necessary, maintain existing programs of vocational education; (2) to develop new programs of vocational education; (3) to develop and administer vocational programs so as to eliminate sex discrimination and sex stereotyping and furnish equal education opportunity in vocational education to persons of

---

1/ This does not include the permanent authorization of $7.1 million apportioned to the States each year under the Smith-Hughes Act.

2/ Includes basic grants and budget for program improvement and supportive services, under P.L. 94-482.

both sexes and (4) to provide part-time employment for youths who need the earnings to continue their vocational training on a full-time basis.

Grants to the States may be used in accordance with five-year State plans and annual plans for a variety of purposes cited under Subpart Two. Work study and cooperative education programs, former categorial programs, were consolidated with the basic grant program.

Under Subpart Three, grants assist States in improving their vocational programs and providing supportive services. Funding categories include: research programs, exemplary and innovative programs; curriculum development, guidance and counseling services, pre-and in-service training; grants to overcome sex bias and costs of supervision and administration of vocational education programs.

Vocational funds are appropriated on an advance basis to enable States and local school officials to plan efficiently.

Program Operation

Formula grants assist States in conducting vocational education programs for persons of all ages to assure access to vocational training programs of high quality. States are required to set aside 15 percent of the allotments for post-secondary and adult programs. They are also required to set aside 10 percent for vocational education programs for handicapped students and 20 percent for disadvantaged students, including persons of limited English-speaking ability. Set asides for the handicapped and disadvantaged populations specify that the States are to use the funds to the maximum extent possible to assist these students in participating in regular vocational education programs. States are required to match the basic grant, the set aside funds, and the funds used for State administration.

Program Scope

Slightly more than 5 billion dollars from Federal, State and local sources were expended for vocational education in FY 1978. Of this total, $547 million was Federal money. Thus, State and local money represented 91% of the total expenditures for that year.

States reported 16,704,926 enrollments in vocational education classes in FY 1978. Of these, 10,236,117 were at the secondary level; 2,089,170, postsecondary, and 4,379,689, adult.

Class enrollments of the disadvantaged and handicapped were as follows:

Disadvantaged

Secondary	1,237,607
Postsecondary	215,995
Adult	341,029
Total	1,794,631

The first year States reported enrollment data on enrollees with limited-English speaking abilities was in FY 1978. The data is far from complete as several States with sizeable populations of this group, such as New York and Texas, had not yet built this component into their reporting system.

Handicapped

Secondary	257,237
Postsecondary	34,989
Adult	63,043
Total	355,269

Program data at the Federal level are generally limited to enrollment and expenditure data from required State plans and annual reports submitted by State education agencies. There is no established procedure for the development of response material for specific data requirements which are not included in the vocational education data system as mandated by P.L. 94-482. This system is expected to be operational for reporting FY 1979 data.

States also report total enrollments for all programs by race or ethnic origin, although three States and one territory did not report these data for FY 1976. While States report total numbers of females enrolled by sex and ethnic origin, these data lack sufficient detail to be useful for analytic purposes.

Program Effectiveness and Progress

Studies examining the administrative processes of the vocational delivery system have reported weaknesses which the 1976 Amendments attempt to reduce or eliminate. The new legislation attempts to (1) improve access of special needs groups and to eliminate sex inequities; (2) improve program quality by requiring a more extensive planning process; (3) improve program flexibility and link experimental and research efforts with program improvement; and (4) improve program accountability by requiring monitoring, evaluation and reporting systems. Data are not yet available to assess the impact of the new legislation.

Studies of the effect of participation in vocational education programs have thus far presented inconsistent results. Some studies show increases in earnings and the ability to obtain a job, others do not; some show increased educational achievement, while others show no difference; most studies show vocational students to have a positive opinion regarding the programs they experience. The evidence so far developed is as follows:

Vocational Education Sex Equity Study

Mandated in section 523(a) of the Education Amendments of 1976, this study focuses on the existence of sex discrimination and sex stereotyping in vocational education and actions which States, school districts and school were taking in the Spring of 1978 to further sex equity. It also examined factors external to vocational programs which contributed to stereotyping and constrain progress to eliminate it, and identified programs which appear to foster sex equity.

Forty-nine States and the District of Columbia were visited during the Spring of 1978. In addition, a school sample of 100 schools was selected on the stratified random basis, using the stratification variables of region of the country, city, size, and type of school. From each school, a sample of 4 counselors, 8 teachers and 35 students were interviewed, including sufficient numbers of nontraditional and ethnic minority students to determine whether their responses differ from those of other students. By weighting the responses of all those interviewed, it is possible to get estimates for the national population.

Four major products were produced: (1) The Review of the Literature and Secondary Data; (2) Case Studies of Programs Fostering Sex Equity; (3) The Replication Handbook, which provides procedures, measures and instruments which can be used to measure progress in reducing sex inequities; and (4) The Final Report and Executive Summary based on findings from the primary data collection phase.

While overt discrimination, such as rules denying admission on the basis of sex, has been reduced, students are still enrolling in vocational programs which are predominantly populated by a single sex, the report indicates. Over 60% of State and local staff reported that practices which discourage students to enroll in nontraditional courses are most in need of change. These include unwritten understandings that a course is for one sex or counselors suggesting traditional options. About 27% agreed that factors encountered after enrollment are most in need of changes. These practices include teacher reluctance to have nontraditional students in their classroom and sex considered in job placement.

State and school administrators focused primarily on traditional roles of review and monitoring legislative requirements. They were not taking corrective action to overcome inequities discovered through review and monitoring. There was little action at the school level to foster equity--particularly student-oriented activity. Few States or schools were engaged in community or employer activities. Yet these activities--particularly with employers--seem to be a critical ingredient in the success of efforts to promote sex equity.

Although societal factors outside the school exert powerful influences on the aspirations of youth, study findings indicate that the school can have an impact in that there is a strong positive correlation between the level of equity activity in a school and the proportion of nontraditional enrollment in that school.

There is also evidence that efforts to achieve equity in staffing patterns have a positive effect. Those schools with higher "internal affirmative action" activity indexes also tended to be those with higher proportions of nontraditional teachers. Since there is little staff turnover, it is important to install activities which directly reach school staff, students and employers. the report recommends.

National Study of Vocational Education Systems and Facilities

This study was designed to describe the status and condition of the nation's vocational education system in terms of its capacity, its services, its accessibility to students, and its adequacy, condition, and level of utilization of its facility resources. The study also describes the organization and governance of State and local agency and delivery systems. Interviews were conducted at the State agencies and a mail survey was sent to all public secondary and free-standing two-year postsecondary institutions having facilities for five or more different vocational education programs.

Findings indicate that the location of facilities does not reflect the nation's population distribution. Institution/populations ratios are significantly higher for medium cities 100-500,000 or less and small towns and rural communities. Central cities include 22.8% of the population but have only 13.3% of the training stations in secondary schools and 10.6% in postsecondary institutions. Other large suburban and metropolitan areas having 38% of the population have 10.5% of the secondary instructional stations and 13.5% for postsecondary.

Ten types of State Boards are identified along with five types of State vocational education agencies and five types of authority exerted by the State agencies over local institutions. Six types of vocational education institutions were defined. These differences are likely to have significant impact on the manner in which Federal policies are implemented in the different States and territories.

With the exception of comprehensive high schools, virtually all other types of institutions report use of combinations of testing, interviews, demonstrations and age-level as criteria for the admission of students for training.

Most postsecondary institutions--such as vocational schools, technical institutes and community colleges--report their facilities are accessible for handicapped students. About 22-24% of the comprehensive high schools report their facilities as inaccessible and about 30-47% of the single district and regional vocational high schools report lack of access.

Study of Vocational Programs for Disadvantaged Students

A recent study assessed programs for the disadvantaged under the State set aside grant program and Part A, Section 102 (b) providing 100 percent funding of vocational education programs for the disadvantaged. The study involved 23 States, 77 communities, including 55 local education agencies and 22 community college districts. Eighty-four projects were visited, including 62 secondary and 22 postsecondary.

Findings indicate that State and local administrators have difficulty in interpreting the congressional definition of "disadvantaged" because: (1) they see an apparent conflict between the identification of students on an individual basis and the designation of target areas or groups; (2) they cite the existence of allegedly conflicting definitions of "disadvantaged" contained in laws other than the Vocational Amendments of 1968; and (3) local administrators indicate they are unwilling to "label" students as disadvantaged. The most common criteria used to identify disadvantaged students were academic, that is, students who are one or more grade levels behind their peers.

The States generally had only one person supervising these programs, and little time was available for planning, monitoring or evaluating programs. In States where education agencies were subdivided into regions, program monitoring and evaluation appeared to be more complete, and program officers were familiar with the programs. Sixteen of the 23 States (70 percent) required local education jurisdictions or schools to submit proposals to the State, according to established guidelines, and funded projects on the basis of the quality of the proposals and the ability of the sponsors to carry out the projects.

The major constraints in developing programs mentioned by respondents at all levels were: lack of funds, lack of facilities, unwillingness of some instructional personnel to accept disadvantaged students into their classes, the negative image of vocational education, and ambiguity of the term "disadvantaged student."

About 46 percent of the enrollment in high school projects was minority; characteristics information by race and ethnic background was not available for 51 percent of the postsecondary enrollment. Of the known postsecondary-level enrollment, 22 percent were minority and 27 percent white. Women comprised a slightly higher percentage of the total high school enrollment than men; the opposite was true at the postsecondary level. However, characteristics by sex were unavailable for 34 percent of the postsecondary enrollment.

Almost half of the high school students were enrolled in work experience programs, indicating that it was not difficult to place disadvantaged students in work situations. However, the vast majority of students enrolled in work experience programs (86 percent) were not receiving skills training in school.

According to the 442 work experience students interviewed, the tasks they were performing on-the-job were in low-skill, low-pay, and high-turnover occupations. For example, 78 percent of the tasks listed in the food service category were waitresses, food handlers, busboys and dishwashers; 44 percent of the tasks listed under car maintenance were service station attendant, wash cars, and park cars; 80 percent of the jobs listed under child and hospital care were to take care of patients (give baths and so on) and child care or babysitting.

There are positive outcomes for the programs. Program costs at $395 per enrollee (Federal costs) and $401 per enrollee (combined Federal, State and local) were low. The average completion rate (83 percent) was high. The student participant ratings of the programs were overwhelmingly favorable, and the employer ratings of the programs and their student employees were also favorable. Administrators generally attribute the favorable rating of students to the fact that enrollees do receive attention they have not received elsewhere.

Outcomes for the High School Class of 1972

This study is concerned with the members of the High School Class of 1972, especially for the period between graduation from high school in the early Summer of 1972 and the time of the first follow-up survey, which was conducted approximately 18 months later.

Findings indicate that in contrast to earlier cohorts, relatively large numbers of whites from the Class of 1972 did not go to college. The increasing enrollment trends of blacks continued, bringing the proportion of blacks enrolled in college up to par with that for whites. Owing to increases in population size, the declining enrollment rate did not result in appreciable declines in the actual numbers of students enrolled in colleges, and for those who did not go to college, nearly one-third could be found in special schools, generally vocational or technical in nature.

The labor force participation rates of females was increasing, with greatest involvement on the part of single women, who reached a participation rate of 56% in 1973. At the same time, the participation rates of young people who were enrolled in school were also attaining a rate of 45% in 1973. Of those who were not enrolled in school, ninety percent were in the labor force.

In 1971-72 education expenditures represented slightly more than 8% of the Gross National Product. Educational revenues were continuing to shift away from local sources (51% in 1972-73), and continuing to shift toward greater State-level disbursements (40% in 1972-73), with a small rise in Federal disbursements (under 10% in 1972-73). A noteworthy share of these monies were allocated to vocational education, a share which increased 63% between 1967-68 and 1972-73. Two concomitants to this high national level of educational investment can be observed; first, that the school retention rates were trending upward (748 persons graduated from high school in 1972 for every 1,000 who entered 5th grade); second, the success rates of school bond elections were declining (56.5% in 1972-73).

The study may be considered an effort to determine what has happened to the Class of 1972 since graduation, especially as regards their educational and economic activities. The exploration goes somewhat beyond that objective, to explore the relationship between the characteristics of class members during high school, the families from which they came, the high school education they received, and the later educational and economic characteristics developed by the Class members. The development is presented in three parts: first, a description of post-high school activities and characteristics; second a a series of analyses relating earlier characteristics to later educational and vocational characteristics; and third, a series of analyses relating earlier plans and aspirations to post-high school outcomes.

An Assessment of Vocational Education Programs for Handicapped Students

The study reviewed the operation and administration of the Part B set aside for handicapped students in 25 States, selected randomly with a probability proportionate to total enrollments in the 50 States. Ninety-two projects were visited for the project level assessment. A thousand student and parent interviews was conducted in five of the sample States, 681 with students currently enrolled and 320 with students who had completed projects. A sample of participating and nonparticipating employers were interviewed.

Findings indicate that Part B set asides have resulted in projects which would have never occurred had there been no such legislation. About 93 percent of the funds were used to provide direct services to students. Cost and outcome data were seriously deficient at both the State and local levels. However, according to what data were available, including results of the student, parent and employer interviews, the program appeared to be working well. Costs per student and completer were not excessive and placement rates ranged from 48 to 60 percent for completers. About 33 percent reenrolled in school, and only about 15 percent of the completers were unemployed.

At the school level, vocational and special education staff worked closely together to provide training and services to students. Those vocational staff who worked with handicapped students generally had no special background for working with handicapped students and desired such training. Few examples of individualized instruction were found, except to the extent that "hands on" vocational training was practiced. Although most local administrators indicated that it was the school district policy to integrate the handicapped with regular students, about 70 percent of the students enrolled were in "special" classes. School administrators were often not sure how to mainstream students and retain separate files for auditors and reporting systems. States in Region V appeared to be further along in integrating classes.

Two-thirds of the training provided under the set aside programs was nonskills training, that is, training not intended to prepare students to compete in the open labor market in any given skill, craft or trade. Half of the students enrolled in this type of training were in prevocational training. Others were enrolled in diagnostic centers, mobility training, nongainful home economics, industrial arts, tutoring and sheltered workshop programs. About 12 percent were trainables. Of those enrolled in skills training, the vast majority were in trade and industrial courses, mainly for men. The range of occupational offerings for women was extremely narrow, and was confined mainly to home economics (much of which was not gainful), and health occupations.

In half of the projects included in the project sample, at least some students were referred into work experience programs. Most of the work stations were unskilled work activities and were intended mainly to provide students with "work experience."

Only a few projects conducted a thorough assessment of the educational needs of the handicapped students referred to the program.

The case study interviews indicated that both students and parents expressed extremely favorable attitudes toward the projects in which they or their children were enrolled.

Participating employers expressed favorable attitudes toward the program. Three out of four participating employers rated the performance of handicapped students and/or completers "as good" or "better than" regular workers in each of the eight performance scales. Unlike participating employers, nonparticipating employers expressed the belief that it would be necessary to effect radical changes in their working environments if they were to hire the handicapped.

What is the Role of Federal Assistance for Vocational Education? Report to Congress by the Comptroller General of the United States:

Although expanded vocational opportunities have been made available for the disadvantaged and handicapped, persons with special needs have not been given high priority, the GAO report says. The report further maintains that vocational education programs are not responsive to changes in the labor market, have shown bias against women, and do not provide adequate occupational guidance and job placement assistance. The report is based on a review of programs in seven States.

The report maintains that these States have distributed funds in a variety of ways, many of which do not necessarily result in funds being targeted to geographical areas of need, or providing for the programmatic initiatives called for by law. Some major practices noted were: making funds available to all local education agencies within a State, rather than concentrating funds in selected areas with high needs; making funds available to local agencies without adequately identifying the relative need for the program; and making funds available without considering ability of local agencies to provide their own resources.

Greater attention to systematic, coordinated planning at the national, State and local levels would improve the use of Federal funds, the report suggests. State and local plans reflect compliance rather than planning. Data that would be helpful to planning is unavailable, inadequate or unutilized, the report continues.

Practical Career Guidance, Counseling, and Placement for the Non-College-Bound Student:

This study reviewed data concerned with practical career guidance and counseling for non-college-bound students. The report's findings indicate that women, minority, and disadvantaged students have not obtained sufficient occupational information and assistance in relating their abilities and interests to career options. Furthermore, the overall conclusion drawn was that the guidance and counseling personnel resources generally have not been aligned to provide practical career guidance for non-college-bound students, despite national priorities and allocations of funds. Recognizing the need for realignment of the counseling services for the non-college-bound, the report recommends that (1) guidance and counseling experts provide more specific information and (2) realignment be based on a planning model that includes assessment of the priority of target groups, selection of appropriate strategies, and evaluation of efforts.

Ongoing and Planned Studies:

NIE Studies

The NIE has designed a series of studies to meet the Congressional mandate under Section 523 (b) of the Vocational Education Act as mandated by Public Law 94-482. The studies will focus on the distribution of vocational education funds in terms of services, occupations, target populations, enrollments and policy issues. The studies will also examine compliance issues and an analysis of the means of assessing program quality and effectiveness. Products will include a "fact book" on vocational education nationally and a systematic account of the changes in the vocational education enterprise that can be attributed to the Educational Amendments of 1976. Reports are due to Congress in 1981.

Sources of Evaluation Data:

Vocational Equity Study. Volume I, American Institutes for Research, 1979.

National Study of Vocational Education Systems and Facilities. Westat, Inc., 1979.

Vocational Education and Training. Carnegie Council on Policy Studies in Higher Education, 1979.

The Planning Papers for the Vocational Education Study. National Institute of Education, 1979.

An Assessment of Vocational Education Programs for the Disadvantaged under Part B and Part A Section 102 (b) of the 1968 Amendments of the Vocational Education Act. Olympus Research Corporation, December 1976.

An Assessment of Vocational Education Programs for the Handicaped Under Part B of the 1968 Amendments to the Vocational Education Act. Olympus Research Corporation, October 1974.

A Vocational Re-Evaluation of the Base Year Survey of the High School Class of 1972 (Part I: Selected Characteristics of the Class of 1972). Educational Testing Service, October 1974.

National Longitudinal Study of the High School Class of 1972. Educational Testing Service, June 1973. (Study under auspices of NCES)

Major City Secondary Education Systems: Class of 1970 Follow-up Survey of Vocational Program Graduates. Educational Systems Research Institute, December 1972.

Practical Career Guidance, Counseling and Placement for the Noncollege-Bound Students. American Institutes for Research, June 1973.

The Vocational Impact Study: Policy Issues and Analytical Problems in Evaluating Vocational Education; A Study of the State Grant Mechanism; and A Study of Duplication, Gaps, and Coordination of Publicly Funded Skill Training Programs in 20 Cities. National Planning Association, October 1972.

A Comparative Study of Proprietary and Non-Proprietary Vocational Training Programs. American Institutes for Research, November 1972.

National Longitudinal Surveys. Survey of Work Experience of Males, 14-24, 1966, and Survey of Work Experience of Young Men, 1968, Center for Human Resources Research, Ohio State University, and U.S. Department of Commerce Bureau of Census, 1966 and 1968, often referred to as the Parnes Study.

A Cost Effectiveness Study of Vocational and Technical Education. Center for Vocational and Technical Education, University of Wisconsin, 1971.

Trends in Vocational Education, OE, June 1970.

Annual State Vocational Education, Reports

Reports from State Advisory Committees

Reports from the National Advisory Committee

What is the Role of Federal Assistance for Vocational Education? Report to Congress by the Comptroller General of the United States. December 31, 1974.

For further information about program operation,

Contact: LeRoy A. Cornelson
(202) 472-3440

For further information about program effectiveness,

Contact: Dorothy Shuler
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education -- Programs of National Significance (Program Improvement and Training and Development Programs)

Legislation:	Expiration Date:
Vocational Education Act of 1963 as amended by P.L. 94-482, Title II, Part B, Subpart 2	September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION 1/
	1977	$ 44,000,000	$ 27,153,000
	1978	51,500,000	28,307,000
	1979	59,000,000	10,000,000
	1980	66,250,000	10,000,000

Program Goals and Objectives:

The overall goal of Programs of National Significance is to improve the quality of vocational education programs in the States for all persons including the handicapped, females, the disadvantaged, and minorities. Projects are intended to impact on areas of national concern and to lever the use of State program improvement dollars towards products utilization and adaptation by public and private users of the vocational education system. These projects are also intended to: (1) produce information for policy development, (2) develop curriculum materials for new and changing occupations, (3) develop leadership personnel and certify vocational teachers in shortage areas, (4) demonstrate new techniques and services for students, (5) package and disseminate information in usable forms for special populations, and (6) ensure that information and materials are placed in the hands of vocational education practitioners.

In FY 79 the program monitored projects funded in FY 77 and FY 78; continued 12 R&D projects and 10 experience-based career education demonstrations; and continued to support the National Center for Research in Vocational Education and the national

---

1/ The annual Vocation Education appropriation act states that the funds appropriated will become available July 1 of the year for which appropriated and, for Programs of National Significance, will remain available until expended.

network of 6 vocational curriculum coordination centers. In addition 87 higher education institutions enrolling vocational leadership and certification fellows were monitored. The program has also initiated 35 new efforts in nationally significant applied research and development, exemplary and innovative programs, curriculum revision, development and dissemination, demonstrations, and personnel training.

The program maintained for its second year the National Center for Research in Vocational Education, which was established in 1978. The purpose of the Center is to promote improvement in vocational education by: (1) conducting applied research and development activities, (2) providing leadership development activities for State and local vocational educators, (3) disseminating the results of vocational research and development, (4) maintaining a clearinghouse on research and development projects supported by States and Federal agencies, (5) generating national planning and policy development information, and (6) providing technical assistance in evaluation to State and local agencies.

In order to bring the many activities authorized under Programs of National Significance together with related Federal research and development programs, P.L. 94-482 also authorized the establishment of the Coordinating Committee on Research in Vocational Education. The Committee, which represents the Director of the National Institute of Education, the Commissioner of Education, and the Director of the Fund for the Improvement of Postsecondary Education, has three major objectives: (1) developing a plan for each fiscal year establishing national priorities for the use of funds available to these agencies for research, development, etc.; (2) coordinating the efforts of NIE, OE, and FIPSE in seeking to achieve these priorities in order to avoid duplication of effort; and (3) developing a management information system on the projects funded pursuant to this plan in order to achieve the best possible monitoring and evaluation of these projects and the widest possible dissemination of their results. Under this broad mandate, the Coordinating Committee jointly sponsored with the National Academy of Science a session on the setting of R&D agendas and also sponsored a session on the effects of continuity of priorities in R&D; issued jointly with the Bureau of Occupational and Adult Education a Federal Register announcement on eight national priorities for FY 80; and arranged for the publication of a report on Projects in Progress. The Committee also made available a brochure designed to inform prospective grantees and contractors of the programs available to them. It is entitled Guide to Federal Funding in Career Education, Education and Work, and Vocational Education.

Program Operations:

Funding for Programs of National Significance in FY 79 is an amount equal to 5 percent of the formula money appropriated to the States for Basic Grants and for Program Improvement and Supportive Services. From these funds the Commissioner must transfer not less than $3 million nor more than $5 million each fiscal year to the National Occupational Information Coordinating Committee and must support a National Center for Research in Vocational Education. The remaining funds are used primarily for contracts, but in some cases for grants, in order to support research, exemplary and innovative programs, curriculum development, vocational guidance and counseling, vocational education personnel training, overcoming sex bias and sex stereotyping, and the conversion of military instructional materials for civilian school use.

Contracts and fellowships are competitively awarded to public organizations, institutions, and agencies; nonprofit institutions and agencies; and individuals. Awards are made through annual competitions reflecting selected Federal priorities for that fiscal year. Proposals are reviewed by Federal and non-Federal experts in R&D in the priority areas. Projects may be approved for a period of from one to three years.

Priority areas for FY 79 were published as an advance notice of intended competitive procurements in the Commerce Business Daily on October 20, 1978. This publication presented a list of tentative project titles of Requests for Proposals to be issued during FY 79. Included among the priorities were: competency measures; handicapped persons, women, and older adults; curriculum modernization and improvement; funding allocations and set asides; and personnel training.

Also during FY 79 eight broad areas of national priority for FY 80 were identified with the help of the Coordinating Committee on Research in Vocational Education. A request for comments was published in conjunction with the Coordinating Committee in the Federal Register on Wednesday, June 13, 1979. Suggested ideas were requested for applied research, demonstration, curriculum development, and personnel development projects as well as for general leadership activities for Federal staff. The eight priorities are: (1) the education and work connection, (2) urban/rural youth programs, (3) program availability and accessibility, with emphasis on adults, (4) planning, accountability, and data systems, (5) guidance for vocations, (6) vocational equity, (7) the special needs of the handicapped and disadvantaged, and (8) basic skills.

Program Scope:

During FY 79 support was provided for 53 research, curriculum development, demonstration, and personnel development projects including the national network of curriculum coordination centers; 10 exemplary vocational education projects, 297 graduate leadership and teacher certification fellowships; and the National Center for Research in Vocational Education. Most of the new projects resulted from the Requests-for-Proposals based on the list of competitive procurements published in the Commerce Business Daily on October 20, 1978.

Among the 53 projects funded in FY 79 there were 22 new applied research and training projects. Approximately 75 percent of these contained major dissemination activities including workshops and orientation for State personnel regarding project results and products. These newly funded projects addressed such content areas as vocational education finance; collaboration of industry, education and labor; program planning, coordination and evaluation; and program organization to serve the handicapped, minorities, women, older adults, incarcerated persons, and limited English-speaking persons.

Also included in the 53 projects were 13 new curriculum development efforts. These included the conversion of job preparation materials in environmental health, prepared for use by the Armed Services, to instructional materials usable in environmental health specialist training in community colleges and schools. High priority was also given to projects addressing the vocational needs of special populations such as older adults, displaced homemakers, and handicapped individuals and to developing, validating and disseminating materials for emerging and changing occupations and changing delivery systems.

Support was continued for a national network of six Curriculum Coordination Centers which are a major resource for diffusion of curriculum materials and assistance to State vocational leaders in maximizing their management of curriculum development, demonstration, and materials dissemination activities. In State reports to the centers, for example, it was revealed that 52 States adopted/adapted curriculum materials developed by other States at a total savings of $3,096,000 in developmental costs. (The East Central Center alone reported savings of $925,000.) Also in that year staff from the Centers conducted or served as curriculum consultants in 285 workshops for materials-developers, school administrators, and teachers in vocational schools and colleges. The Northwestern Center provided in-service training to 150 private school personnel and 87 apprenticeship coordinators on the availability and use of network services and vocational curriculum development procedures. The Centers collectively disseminated a total of 132,264 copies of curriculum materials and information during FY 79.

Also supported in FY 79 were 10 exemplary projects in vocational education which had been initiated in FY 77 for a three-year period. All of these projects are replicating the Experience-Based Career Education models developed with support from the National Institute of Education at four educational laboratories in Charleston, West Virginia; Philadelphia, Pennsylvania; Portland, Oregon; and San Francisco, California.

A survey of the 10 projects revealed that the average project:

- enrolled 71 students
- employed 1.4 administrators, 3.2 teachers or learning managers, 1.2 counselors, 1.2 community resource specialists
- incurred 13 days of inservice training and technical assistance for 8.1 people
- developed 206 community resource sites (employers) representing 270 different exploration learning stations.

The personnel development activities funded during FY 79 are authorized under Section 172 of the Education Amendments of 1976 as two different programs with different purposes. The first is the Vocational Education Graduate Leadership Development Program. Institutions of higher education offering a graduate program in vocational education are eligible to apply. Individuals eligible for the program are those who have had experience in vocational education, are currently employed or are reasonably assured of employment in vocational education and have a baccalaureate degree, are recommended as having leadership potential in vocational education, and are eligible for admission as graduate students to an approved institution. There were 155 individuals who received awards to participate in programs conducted at 18 institutions of higher education. The number of awardees per institution ranges from 5 to 21.

The second personnel development program is the Vocational Education Teacher Certification Fellowship Program. It includes two different groups desiring to pursue undergraduate study which will prepare them to become certified in areas of vocational education teacher shortages: (1) individuals who are or have been certified by a State within the past 10 years as teachers in elementary and secondary schools, community and junior colleges, and other thirteenth and fourteenth year programs, and who are unable to find employment in their field of certification and (2) individuals (not necessarily baccalaureate degree holders) employed in industry, business or agriculture. Awards were made to 142 individuals participating in certification programs at 56 institutions.

Part B, Subpart 2, Section 172(c)(7) of the Education Amendments of 1976 requires the publishing of a listing of the areas of teaching in vocational education which are presently in need of additional personnel and of the areas which will have need of additional personnel in the future. The estimated need, based on projected enrollment increases and a 10 percent attrition rate, is for 85,771 vocational education teachers in the school year 1979-80 in addition to those employed in the school year 1975-76.

Support was continued for the National Center for Research in Vocational Education. During its first year (1978), the National Center worked to develop a nation-wide research and development system for vocational education. Four major themes were identified which cross-cut the functions. They are: (1) comprehensive planning, (2) responsiveness to special needs of subpopulations, (3) sex fairness, and (4) effective evaluation.

In addition to carrying out a number of research, development and evaluation projects, the National Center functions as a source of information and consultation. During the 1978 calendar year, 1,528 visitors from 50 States came to the Center to consult with staff, learn about products and activities, and utilize information resources. There were 79 foreign visitors from 41 countries who visited the Center. There were 9,216 requests which came by letter and telephone from a variety of institutional settings and individuals with varying roles and responsibilities. These individuals sought information about national program priorities, available research and development products, exemplary activities, and potential consultants.

During its first year, the Center worked extensively with diverse organizational groups across the United States. Field sites were established in 46 locations in 32 different States. More than 500 State and local leaders were directly involved in these activities.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Data:

Gordon, Ruth, and Staff of the National Center for Research in Vocational Education. *Research and Development Projects in Vocational Education, FY 1970-1977.* (An annotated Bibliography, Volume I. Federally Administered Projects.) The Center, Columbus, Ohio. January 1979. 262 p.

Sellers, Lois Ann and Ruth Gordon. *Current Projects in Vocational Education, FY 1977.* (Federally funded Research, Demonstration, Curriculum Development, and Bilingual Vocational Training.) National Center for Research in Vocational Education, Columbus, Ohio. February 1978. 246 p.

Gordon, Ruth; Betty Leeke; Diane Shook. *Projects in Progress-FY 1978: A Report for the Coordinating Committee on Research in Vocational Education.* The National Center for Research in Vocational Education, Columbus, Ohio. February 1979. 229 p.

U.S. Department of Health, Education, and Welfare, Office of Education. *Personnel Development for Vocational Education 1973-74.* (Commissioner's Report on the Educational Professions. HEW Publication No. (OE) 76-12009.) U.S. Government Printing Office, Washington, D.C. 1976. 170 p.

National Advisory Council on Vocational Education. *A Study of the Administration, Operation, and Program Services of Vocational-Technical Education.* (Executive Summary) The Council, Washington, D.C. December 1978. 17 p.

Annual impact reports from Curriculum Coordination Centers.

For further information about program operations,

Contact: Dr. Howard Hjelm
(202) 245-9634

For further information about studies of program activities,

Contact: Dr. Alice Scates
(202) 245-8380

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education - Consumer and Homemaking Education

Legislation:	Expiration Date:
Vocational Education Act of 1963, as amended by P.L. 94-482, Part A, Subpart 5	September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1968		
	1969		
	1970	$ 25,000,000	$ 15,000,000
	1971	35,000,000	21,250,000
	1972	50,000,000	25,625,000
	1973	50,000,000	38,322,000
	1974	50,000,000	30,994,000
	1975	50,000,000	35,994,000
	1976	50,000,000	40,994,000
	1977	55,000,000	40,994,000
	1978	65,000,000	40,994,000
	1979	75,000,000	43,497,000
	1980	80,000,000	43,497,000

Program Goals and Objectives:

The Vocational Education Act of 1963, as amended by the 1976 Amendments, provides formula grants to States for programs and activities in conducting consumer and homemaking education programs. The allotments to States are to be expended solely for:

> Education programs in consumer and homemaking education consisting of instructional programs, services, and activities at all educational levels for the occupation of homemaking including, but not limited to, consumer education, food and nutrition, family living and parenthood education, child development and guidance, housing and home management (including resource management), and clothing and textiles. These programs should (a) encourage participation of both males and females to prepare for combining the roles of homemakers and wage earners, (b) encourage elimination of sex stereotyping in consumer and homemaking education by promoting the development of curriculum materials which deal with increased numbers

of women working outside of the home and increased numbers of men assuming homemaking responsibilities and changing career patterns for women and men. These programs should give consideration to the economic, social and cultural conditions and needs and such courses may include bilingual instruction. Outreach programs should be encouraged in communities to include designated target populations. Other purposes include: preparation of males and females who have entered or are preparing to enter the work of the home; and the development of ancillary services such as teacher training and supervision; curriculum development, research, program evaluation, special demonstration and experimental programs, development of instructional materials, exemplary projects, provision of equipment, State administration and leadership.

Program Operation:

States reported that 3,659,441 students participated in programs funded during FY 1978. About 2,795,949 were in secondary schools; 52,340 were at the postsecondary level; and 811,152 were adults. Of the total enrollment 2,946,101, or 80 percent, were female.

States must use at least one-third of the Federal funds allocated for programs in economically depressed areas or areas with high rates of unemployment. Fifty percent matching is required except in economically depressed areas or areas with high rates of unemployment where matching is 90 percent Federal and 10 percent State and/or local.

Program Effectiveness and Progress:

States report expansion of programs and increased programming for consumer education, nutrition education, parenthood education, child development and growth of enrollments in depressed areas. However, no objective evidence of effectiveness of this program is available.

Ongoing and Planned Studies:

The National Institute of Education is conducting a study of this program as mandated under Section 523(b), (1), (f) of the Vocational Education Act as amended by Public Law 94-482.

Sources of Evaluation Data:

Annual State Vocational Education Reports

Descriptive reports submitted by State Departments of Education, State Supervisors of Home Economics Education

For further information about program operation

Contact: Thomas L. Johns
(202) 245-8174

For further information about program effectiveness,

Contact: Dorothy Shuler
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Vocational Education - Bilingual Vocational Training

Legislation:	Expiration Date:
Vocational Education Act of 1963, as amended by P.L. 94-482, Part B, subpart 3	September 30, 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	$17,500,000	$ 2,800,000
	1976	17,500,000	2,800,000
	1977	60,000,000	2,800,000
	1978	70,000,000	2,800,000
	1979	80,000,000	2,800,000
	1980	90,000,000	4,800,000

Program Goals and Objectives:

Grants and contracts are awarded up to one year to provide bilingual vocational training for persons who are unemployed or underemployed and who are unable to profit from regular vocational training. Three types of training are offered with setasides under this authority. Sixty-five percent is authorized to provide bilingual vocational training; 25% to conduct training for instructors and 10% to develop instructional material, methods or techniques for bilingual vocational training.

The target population for the bilingual vocational training program are those with limited-English-speaking ability who have completed or left elementary or secondary school and are available for training by a postsecondary educational institution or persons who have already entered the labor market and who desire or need training or retraining to expand their range of skills or advance in employment. Training allowances for participants in bilingual vocational training programs are subject to the same conditions and limitations as set forth in Section III of the Comprehensive Employment and Training Act of 1973.

Program Operation:

Under this authority, the Commissioner contracts with eligible agencies, institutions, and organizations in supplying training in recognized and in new and emerging occupations. Instruction in the English language is included to insure that participants may find employment in environments where English is the language normally used. Eligible public or private institutions or other eligible agencies may also contract to train instructors of bilingual vocational training. This training may prepare persons to participate in bilingual vocational training or vocational education programs as instructors, aides, or other ancillary personnel, such as counselors, for inservice and development programs to enable such personnel to continue to improve their qualifications while participating in such programs. Fellowships or traineeships for persons engaged in such preservice or inservice training may also be provided.

Grants and contracts may be awarded to States, appropriate institutions, organizations or individuals to assist them in developing instructional materials, methods or techniques for bilingual vocational training. Funds under this section may be used for research in bilingual vocational training, programs designed to familiarize State agencies and training institutions with research findings and successful pilot and demonstration projects in bilingual vocational training; experimental, developmental and pilot programs and projects designed to test the effectiveness of research findings and other demonstration and dissemination projects.

Program Scope:

Ten bilingual vocational training programs in four States will be funded in FY 1979 to train 630 persons for employment in recognized occupations. In previous years, when the appropriation was used to fund only training programs, about 22 projects were funded annually to train about 1500 persons.

The essential aspect of a bilingual vocational training program is that training is conducted both in English and the dominant language of the participants. Trainees are to acquire sufficient competence to enable them to perform satisfactorily in a work environment where English is used.

Three instructor training programs will provide preservice and inservice training for about 130 instructors and staff to work with bilingual vocational training programs. One study is in progress to develop a monograph for use by planners, directors and instructors in establishing bilingual vocational training programs.

Program Effectiveness and Progress:

Projects funded under this authority have generally reported high placement rates. Further outcome measures are being used to measure the effectiveness of the programs in a continuing effort to meet the reporting and evaluation requirements of the Act.

Interim data from a mandated study of The Impact of Bilingual Vocational Training indicate that persons enrolling in these classes were primarily foreign-born. Only 18% were born in the United States. About 80% of the foreign-born were from Spanish-speaking countries.

About 60 percent of the students have had no previous schooling in the United States or in a setting where English was the medium of instruction. About 77% of the trainees had 6 years or fewer of U.S. or English schooling. The remaining trainees, who have completed higher levels of U.S. or English schooling, were judged by their vocational instructors as having difficulty understanding instruction in English.

Prior to training about 33.9% were unemployed and seeking work. Of those working, about one-third earned less than minimum wage. Fewer than 30% of those who had worked earned $160 or more per week during the year prior to training. These and other data indicate that the program is reaching the population defined in the law.

The setasides and inflationary costs have substantially reduced the size of the discretionary training program over the years from 2500 trainees in 1975 to 637 in 1979. Costs per trainees have risen from $1120 in 1975 to $2857 in 1979.

Planned and Ongoing Studies:

The Status and Impact of Bilingual Vocational Training

To meet the reporting requirements under Part B, Subpart 3, of the Vocational Education Act as amended by Public Law 94-482, this study has four major objectives. It will provide information about the characteristics of limited English-speaking participants in bilingual vocational programs and will determine how such programs impact on the trainees. From interviews with the students while enrolled in occupational training programs and again about 10 months later, the study will provide data on what happens to participants, whether they obtain training-related jobs, or whether such programs increase their earning power and enhance career progression. The study must address the issue of whether participation in the program results in improved English skills and job skills which the trainees need to become employable. The study will determine the various ways the bilingual vocational training program may impact on the labor market and to assess whether such programs are training participants for skills needed within the applicable labor markets. The study will also develop criteria which may be useful for administrators to assess the effectiveness of bilingual vocational training programs. Interim reports and the final report will provide information on work completed at designated phases of the study to make input into the annual reports submitted for approval by the Commissioner and the Secretary of Labor as specified in the Act.

Sources of Evaluation Data:

Status of Bilingual Vocational Training, a mandated report by the Commissioner of Education and the Secretary of Labor to the President and the Congress, August 1978.

Assessment of Bilingual Vocational Training, Kirschner Associates, Albuquerque, New Mexico, August 1976.

For further information about program operation,

Contact: Thomas L. Johns
(202) 245-8174

For further information about program effectiveness,

Contact: Dorothy Shuler
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Adult Education -- Grants to States

Legislation:

P.L. 91-230, as amended by
P.L. 93-380, Title VI, Part A
P.L. 94-112, Extension for 1 year
P.L. 95-561, Title XIII, Part A

Expiration Date:

September 30, 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1965	(Under Econ. Opp. Act)	$ 18,612,000
	1966	(" " " ")	20,744,063
	1967	$ 40,000,000	29,200,000
	1968	60,000,000	40,250,000
	1969	70,000,000	45,000,000
	1970	160,000,000	50,000,000
	1971	200,000,000	55,000,000
	1972	225,000,000	61,300,000
	1973	225,000,000	85,000,000
	1974	150,000,000	63,485,000
	1975 [1]	150,000,000	67,500,000
	1976	175,000,000	67,500,000
	1977	200,000,000	80,500,000
	1978	200,000,000	80,500,000
	1979	210,000,000	90,750,000
	1980	230,000,000	100,000,000

Program Goals and Objectives:

The purpose of this program, as stated in the legislation, is "to expand educational opportunities for adults and encourage the establishment of programs of adult education that will --

(1) enable all adults to acquire basic skills necessary to function in society,

(2) enable adults who so desire to continue their education to at least the level of completion of secondary school, and

(3) to make available to adults the means to secure training that will enable them to become more employable, productive, and responsible citizens."

---

[1] In 1975 the Appropriation Act included funds for both 1975 and 1976, placing this program on an advance funding basis.

The legislation defines the program's population as persons who have attained the age of 16 and (1) lack sufficient mastery of basic educational skills to enable them to function effectively in society or who do not have a certificate of graduation from a school providing secondary education and who have not achieved an equivalent level of education, and (2) are currently not required to be enrolled in school. The law identifies the following groups within the target population for which there is special concern: residents of rural areas, residents of urban areas with high rates of unemployment, persons of limited-English speaking skills, institutionalized adults, adult immigrants, and adult Indochina refugees.

Changes made in the Adult Education Act by the 1978 Amendments increase outreach activities and encourage expansion of the delivery system through the use of agencies, institutions, and organizations other than the public school system. Other changes include:

- o expanding the purpose to include basic functional skills,
- o broadening state plans to require more consultation with outside groups improved needs assessment, and removing barriers to adult participation;
- o providing research, development, and evaluation authority at the national level.

These amendments became effective November 1, 1978. Three-year State plans beginning with Fiscal Year 1980 program operations will implement the amended legislation.

Program Operations:

There are two major parts to the adult education program established under the Adult Education Act. One is the State-administered program and the other is comprised of four national discretionary programs.

The State-administered program establishes a cooperative effort between the Federal Government and the States. Funds are allocated to the States on a formula basis and the States, in turn, fund local programs based on need and resources available. Each State is required to match these Federal funds at the rate of ten cents for every ninety cents of Federal money.

Of the amount appropriated for this program, the Commissioner shall allot not more than 1 percent to the Territories and $150,000 to each State. The remainder shall be allotted to each State in proportion to the eligible population in each State. In order to receive its allotment a State must file a general State application and submit, not more often than once every three years, a State plan.

The State then distributes grants on the basis of annual applications submitted by local educational agencies and public or private nonprofit agencies, organizations, and institutions. These grants are awarded competitively on the following criteria:

- the needs of the population to be served by the applicant
- the extent to which the applicant proposes projects to reach adult populations least educated and most in need of assistance
- the extent to which the applicant gives special emphasis to adult basic education projects
- the adequacy of outreach activities, including:

  flexible schedules to accomodate the greatest number of adults who are least educated and most in need of assistance,

  locations of facilities offering programs that are convenient to large concentrations of adult populations identified in the regulations or locations convenient to public transportation, and

  the availability of child care services to participants in the project.
- the extent to which cooperative arrangements with other agencies will be used for delivering adult education and support services
- the resources available to the applicant - other than Federal and State adult education funds - to meet these needs
- the extent to which the proposed activity addresses the identified needs
- the extent to which the project objectives can be accomplished within the amount of the budget request.

The four national discretionary programs are:

1. A National Development and Dissemination Program;
2. Planning Grants;
3. An Emergency Adult Education Program for Indochina Refugees; and
4. An Adult Education Program for Adult Immigrants.

For Fiscal Year 1980, $5,000,000 in a supplemental appropriation was made available by the Congress for the four discretionary programs.

Technical assistance is given in the development of State plans and in the quality of management plans. This is rendered by the Federal government to the State educational agencies and by the State to the local level.

In addition to State plans which may be updated any time during the three-year periods, fiscal and financial reports are required annually. An annual evaluation of activities according to criteria and procedures included in the State plan is sent to the Commissioner by the State.

To be eligible for Federal funds a State shall maintain its fiscal effort. A State shall expend for adult education from non-Federal sources an amount equal to the fiscal effort of the State in the previous fiscal year. A State may determine its fiscal effort on a per student basis or on a total expenditure basis. The Commissioner does not make any payment to a State in any fiscal year unless he finds that the fiscal effort of a State for adult education for the preceding fiscal year was not less than the fiscal effort expended for adult education purposes during the second preceding fiscal year. However, the Commissioner may waive for one fiscal year only the maintenance of effort requirement if he determines it would be equitable to do so in view of exceptional and unforeseen circumstances affecting the State.

A State wishing to receive a waiver shall submit a request with its three-year State plan or as an amendment to the plan, including in the request the reason and any additional information the Commissioner may require. As of July 1979, no State has requested a waiver. Maintenance of effort is monitored indirectly by the Federal government by annual visits to State agencies, which in turn, monitor local projects.

Program Scope: 1/

Most Federal funds are distributed by the States to support instructional projects at the local level. Grants to States in FY 1979 ranged from $70,089 to $7,512,984.

Types and Amounts of Federal Grants:

The estimated distribution of the FY 1979 monies is as follows: (1) $907,500 reserved for outlying areas, (2) each State, the District of Columbia and Puerto Rico receiving a basic amount of $150,000 and (3) the remainder distributed on the basis of the number of persons 16 and over with less than a high school education based on the 1970 Census. Twenty-nine States had grants of more than one million dollars with the four largest being New York ($7,512,984), California ($6,648,292), Pennsylvania ($5,071,342), and Texas ($4,963,583). The smallest State amount was $231,019, granted to Alaska.

Within each State the Federal funds may be utilized for State level administrative expenses, State advisory councils, research and special projects, and various types of instructional projects. The amount available for use for State administration of the program is set by Federal legislation -- approximately five percent of the total State allotment with a minimum of $50,000 per State.

Section 310 of the 1978 amendments provide that not less than ten percent of the funds allocated to the States shall be used for special projects and teacher training. These may involve the use of innovative methods, systems, materials or programs, or may be part of community schools programs which have unusual promise in promoting a comprehensive or coordinated approach to the problem of persons with educational deficiencies, or may be for training present or potential program personnel.

The majority of Federal funds are expended on various types of instructional activities through grants made by the States to projects at the local level. All States are required to place emphasis on adult basic education programs. In 1977, 1.68 million people were served in Adult Basic Education. Of these, 150,000 completed 8th grade, 107,749 obtained employment or better jobs, and 18,953 were able to forego public assistance.

1/ The source of information in this section are preliminary findings prepared by Development Associates, Inc. who is under contract to USOE to conduct an evaluation of the Adult Education State Grant Program and the Bureau of Occupational Adult Education.

In addition to adult basic and secndary education, the Federal legislation encourages provision of instruction in English as a Second Language (ESL) or bilingual education. In some States ESL activities constitute a major and separately funded component of the program. Of the total population served in adult education programs, 31% are in this component.

The Federal government also provides emergency funding as the need arises. One such need was the increased demand for adult classes brought about by the large number of Indochinese refugees entering the U.S. Grants for 1977-78 were made to 65 State and local agencies to serve 30,000 participants. There are approximately 130 full-time and 530 part-time staff employed in these programs. The amount expended was $10,029,327.

State and Local Funding:

The Adult Education Act provides that the Federal share of the expenditures needed to carry out the State Plan shall be no more than 90 percent (except with respect to Guam, American Samoa, the Virgin Islands, the Northern Mariana Islands, the Trust Territory of the Pacific where the Federal share may be 100 percent. The Act also provides that the amount provided by non-Federal sources for one year may not be less than the preceding year; i.e., the level of non-Federal effort must be maintained.

Overall, the average size of project grants during FY 1977 was $30,256. About 28% of the grants were for less than $5,000; ten percent received grants of $2,000 or less. The average cost in Federal funds was $46 per participant.

Program Effectiveness and Progress:

In October 1977, the Division of Adult Education analyzed data received from 53 States reporting on the accomplishment of program objectives for FY 1976. The purpose was to assess States' progress in providing improved and more effective learning opportunities for disadvantaged adults. Many States reported the achievement of goals such as the following:

1. States increased the recruitment and retention of hard-to-reach adults most in need of basic (grades 1-8) educational services. Extensive recruitment campaigns were launched, the most successful of which included door-to-door canvasing, advertisements via the media, and referrals from community organizations and social agencies. Special demonstration projects and staff development programs focused on effective methods and techniques for reaching and retaining this population

of adults. Cooperative arrangements were established with agencies in order to provide support services (health, child care, etc.). New programs were established in poverty areas, both in inner cities and in rural communities.

2. Improvements in the operation, administration, and evaluation of local programs was emphasized in statewide workshops for local administrative personnel. State coordinators visited local programs on the average of two or three times during the year to verify enrollments, compliance with adult education Federal and State legislation and regulations, and the achievement of objectives established by local directors.

3. States expanded the number of adult education classes through increased cooperative arrangements with agencies and organizations such as Community Education, CETA, Health Services, Social Services, churches, correctional and mental institutions, and community action agencies. New adult learning centers were started, classes were provided in area vocational centers, instruction was offered via television and mobil vans, and new programs were established, many with satellite classes in rural communities or other areas with small scattered numbers of adults needing services.

4. States increased efforts to improve the quality of instructional services through special demonstration and staff development projects. Projects either trained personnel or developed curriculum or instructional methodology in the areas of life-coping skills, adult high school and Adult Performing Learning concepts, and volunteer tutorial training in reading and mathematics.

From a survey conducted in 43 States in 1977 an average of $867,657 projected savings by State was calculated as a result of adult education participants finding jobs and no longer requiring public assistance. A projected income based on a minimum wage rate earned by adults who became employed after their completion of the program was $267,979,524, or an average of $6,232,081 per State. Projected additional money earned by adults who were promoted as a result of adult education was $9,352,201,or an average of $217,493 per State.

In FY 1978, the Bureau of Occupational and Adult Education (BOAE) established a policy calling for expanding education opportunities for older adults within the authorities of BOAE-administered programs. Program and operational objectives for FY 1979 provide that programs in BOAE will establish policy that focused on this population. Considerable technical assistance has been given to State and Local adult education administrators and to other agencies and organizations.

Increased and focused effort has also been made to assist handicapped adults obtain education and training which will enable them to become more employable, productive and responsible citizens. The Division of Adult Education is developing strategies for improving State grant programs in order to promote fair and equitable services for handicapped adults, and to work closely with BOAE/Bureau of Education for Handicapped task force.

Ongoing and Planned Evaluation Studies:

An evaluation of the State Grant Program by USOE was started in 1978. This evaluation was designed to be completed 15 months after the contract award.

The evaluation will be multipurpose. Information produced by the evaluation will be used by the Division of Adult Education and the Office of Evaluation and Dissemination in the U.S. Office of Education, State and local educational agencies, State and local policy makers (both government and non-government), and the U.S. Congress. To serve these varied interest groups, the evaluation must necessarily have a formative orientation given the nature of the program and the expectations cited from previous studies. The major objectives of this evaluation are:

1. To provide the Office of Education and the Congress with concise information about the target populations and the extent to which they have been or need to be served by the Adult Education State Grants Program.

    a. To provide information on barriers to participation including explications of reasons and patterns of drop-out.

    b. Provide information on the types of programs made available to adults, e.g., APL, basic skills, etc., and to determine if the programs offered are the ones desired by participants.

    c. To provide cost information by type of program and population served.

2. To identify a set of impact measures that can be studied in a longitudinal design.

A three-year longitudinal evaluation of the Adult Education State Grant program is planned for FY 1980.

Sources of Evaluation Data:

- Annual State Performance and Financial Reports
- HEW Reports on State Program Audits
- National Advisory Council on Adult Education
- An Evaluation of the Adult Education State Grant Program, Development Associates, Inc., 1979. U.S. Department of Health, Education, and Welfare, Office of Evaluation and Dissemination, Preliminary findings.

For further information about program operations,

Contact: Dr. Joseph Vettickal
(202) 245-9604

For further information about studies of program effectiveness,

Contact: Eugene Tucker
(202) 245-8380

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Career Education

Legislation: 1/	Expiration Date:
P.L. 95-207	September 30, 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	$ 15,000,000	$ 10,000,000
	1976	15,000,000	10,135,000
	1977	15,000,000	10,135,000
	1978	15,000,000	10,135,000
	1979	65,000,000	20,000,000 2/
	1980	100,000,000	20,000,000

Program Goals and Objectives:

P.L. 95-207, The Career Education Incentive Act, is the implementation phase of the developmental work initiated under P.L. 93-380. Under that earlier legislation the Congress authorized a program which provided leadership in the development of career education and which put major emphases on demonstrations of the best career education programs and practices and on developing State plans for implementing career education programs.

1/ During FY 75 this Program operated under the authority of the Cooperative Research Act. In FY 76 through FY 78 it operated under the Special Projects Act, Public Law 93-380, Sections 402 and 406. Under the latter Act, half of the Special Projects funds went directly to the Commissioner for use in contracts and the other half to the programs named in that Act, one of which was Career Education. P.L. 93-380 expired at the end of 1978 and the Congress passed the Career Education Incentive Act (P.L. 95-207) on December 13, 1977 to authorize funding beginning in FY 79 and ending in FY 83.

2/ The Congress originally appropriated $32.5 million for FY 79. After receiving a request to rescind these funds, the Congress cut the appropriation to $20 million. The conferees stated that the entire amount should be spent on the elementary and secondary career education provisions of the Act (Grades K-12).

Public Law 95-207 became operative with the appropriation of funds for FY 79. In this Act, the Congress states that its purpose is "...to assist States and local educational agencies... in making education as preparation for work, and as a means of relating work values to other life roles and choices (such as family life), a major goal of all who teach and all who learn by increasing the emphasis they place on career awareness, exploration, decision making, and planning, and to do so in a manner which will promote equal opportunity in making career choices through the elimination of bias and stereotyping in such activities, including bias and stereotyping on account of race, sex, age, economic status, or handicap."

The proposed Regulations for "Career Education Incentive Programs," which were published in the Federal Register on December 18, 1978, summarize this purpose by stating that all State allotment programs will make career education a major goal in education by increasing emphasis on career awareness, exploration, decision making, and planning; shall conduct activities in a manner which will promote equal opportunities for students engaging in program activities; and shall eliminate practices that promote bias and stereotyping based on race, sex, age, economic status, and handicap.

Program Operations:

Both maintenance of effort and matching are required in the State allotment program under the new Legislation. To maintain effort in career education a State must spend from its own resources an amount at least equal to the amount the State spent for career education in the preceding fiscal year. The matching requirement provides that the cost of State administration of the Act may be 100% from Federal funds in FY 79, but the State must pay at least 25% for FY 80, and at least 50% for FY 81, 82, and 83. Further matching provisions require that funds for State leadership and local educational agency programs may be 100% Federal in FY 79 and 80. However, the State must pay 25% in FY 81, 50% in FY 82, and 75% in FY 83. The non-Federal share of the cost of State leadership and local implementation may come from State, local, and private sources. It may include cash contributions, in-kind contributions, volunteer services, materials, and equipment.

No State may reserve more than 10% of its funds for providing State leadership activities listed in the Act, either directly or through arrangements with public agencies and private organizations. No State may reserve more than 10% of its funds for FY 79 and 5% of its funds for FY 80 through 83 for: (1) employing additional State educational agency personnel to administer and coordinate program assisted under the Act, and (2) reviewing and revising the State plan. The unreserved funds must be distributed by the State to local educational agencies for comprehensive career education programs. At least 15% of the funds distributed to local agencies must be used for programs to develop and implement comprehensive career guidance, counseling, placement, and follow-up services using counselors, teachers, parents, and community resource personnel.

To obtain funds for comprehensive career education programs, a local educational agency must apply to its State agency. Each State agency will review the applications and may make payments to local educational agencies, to the extent practicable, on the basis of criteria established by the State agency and criteria in Section 8(b) of the Act.

Unless a State is prohibited by Law from providing services to students and teachers in private and non-profit schools, the State must make provisions for the effective participation on an equitable basis of private-school students and teachers in programs assisted under the Act. In States which are prohibited from providing such services, the Commissioner of Education is responsible for providing that these private-school students and teachers participate. Private school officials must be consulted on the arrangements, and a public agency in the State will administer the funds.

Each State is required to submit an annual report to the Commissioner on or before December 31 of each year except FY 79. The report will contain: (1) an analysis of the extent to which each objective in the State plan has been achieved, (2) a description of the extent to which State and local educational agencies are using both Federal and their own resources to achieve these objectives, and (3) a description of the programs funded within the State, including an analysis of reasons for their successes and/or failures.

In order to receive FY 79 funding under the new Legislation each State Education Agency (including Insular areas) was required to submit, by June 14, 1979, a letter including assurances specified in the Federal Regulations. The amount of FY 79 funds distributed to the States in June and July, 1979 was $18.375 million. This represents the funds appropriated for FY 79 minus the set-asides allowed by the Law for discretionary use by the Commissioner of Education. (The District of Columbia and Puerto Rico are included as States. The five insular areas received funding from the Commissioner's discretionary funds with an amout equal to one per centum of the appropriation -- $200,000.)

To become eligible for further funding in FY 80 and beyond, each State and Insular area was required to submit, by July 1, 1979, a five-year plan for implementing career education in that State. These plans set out explicitly the objectives the State will seek to achieve by the end of each of the fiscal years for which funds are made available under the Act, describe how the funds will be used to implement the overall objectives in each fiscal year, set forth policies and procedures which the State will follow to assure equal access for all students, provide adequate assurance of complying with that part of the Law which authorizes State and local activities, and provide proposed criteria for evaluating the extent to which the State achieves the objectives set out in its plan.

These July 1, 1979 plans were based on the State plans developed earlier under P.L. 93-380. Funds were made available in FY 76 and 77 to enable each State and Territory to prepare a five-year plan for implementing career education. Plans prepared under P.L. 93-380 were submitted by all except four States and one Territory. Each received a written evaluation of its plan during the period from March through May 1978. All States and Territories also received criteria and guidelines for adapting their plans to meet the requirements of the new Incentive Act, P.L. 95-207. (These evaluations were done under a contract with the Southwest Regional Laboratory for Educational Research and Development. See the Section on "Ongoing and Planned Evaluation Studies.")

Program Scope:

By definition, the Law specifies funds for 52 States -- the usual 50 plus the District of Columbia and Puerto Rico. All of the States except one (New Mexico) and all five Insular areas applied for FY 79 funds by sending the required letters of assurances.

Funds appropriated under P.L. 95-207 for the State allotment program are distributed on the basis of the population aged 5 to 18. There were 16 States which received the minimum of $125,000. There were 13 States receiving between $126,000 and $300,000; 13 between $301,000 and $500,000; 6 between $501,000 and $1,000,000. Only 3 States received between $1,001,000 and $2,000,000.

Program Effectiveness and Progress:

Since the FY 79 funds appropriated for the Career Education Incentive Act did not become available to the States until late June or July 1979, there can be no information on the effects of the Program until FY 80. Some States may have been able to engage in a few of the authorized leadership activities during the summer months, but little could be done at the local level until schools re-opened in the last month of FY 79. However, a substantial amount of data on the effectiveness of local programs has been gathered since 1974 and has been reported in the Annual Evaluation Report for FY 78. As of the end of FY 79 there were 12 projects which had been judged exemplary by the Joint Dissemination Review Panel of DHEW's Education Division. Information on these projects is being disseminated through OE's National Diffusion Network.

Also between 1974 and 1979 the number of States with their own legislative enactments increased from 5 to 20. The number of States and Territories which had officially designated State Coordinators of Career Education reached 57 in 1979. The number of States and Territories having written plans for career education was 56. Of these plans, 49 had been evaluated, with written suggestions for strengthening them where this was needed.

Ongoing and Planned Evaluation Studies:

An "Assessment of State Plans for Career Education" was initiated in September 1978 under contract with the Southwest Regional Laboratory for Educational Research and Development in Los Alamitos, California (SWRL). The objectives of the project were to: (1) Develop a model five-year State plan to use as a guide for State planners, (2) Analyze the strengths and weaknesses of each individual State plan in order to: (a) provide specific suggestions to the Chief State School Officer and the person responsible for preparing the plan, and (b) provide general information to Federal and State program managers, (3) Provide guidance in relating current plans to the plans required by the Career Education Incentive Act, and (4) Determine the extent to which each State and Territory had moved, or is ready to move, toward implementation of its plan. Assessments of individual State plans were provided during the March-May 1979 period, and the final report was submitted in July 1979. It was designed to enable administrators at Federal and State levels to join in strengthening the individual State and Territory plans for career education.

A new project will begin in October 1979 to evaluate the early implementation of the Career Education Incentive Act. The first phase of this project is a seven-month exploratory evaluation which focuses on National, State, and local objectives and ways of measuring the extent to which they are achieved. The second phase, which would take eleven months and which is optional, is a short-term evaluation to provide rapid feed-back on program effects eighteen months after the Act was implemented.

Sources of Evaluation Data:

The following sources provide evaluative information about the development of career education prior to FY 79:

Project reports from grantees, 1977 and 1978.

Bhaerman, Robert D. Career Education and Basic Academic Achievement: A Descriptive Analysis of the Research. Washington, D.C. U.S. Office of Education; May 1977. (ED-140-032)

Bonnet, Deborah G. What Does Career Education Do For Kids? A Synthesis of 1975-76 Evaluation Results. Crawfordsville, Indiana: New Educational Directions, Inc.; June 1977. (ED-143-831)

Datta, Lois-ellin and others. Career Education - What Proof Do We Have That It Works? Washington, D.C.: U.S. Office of Education; 1977. (ED-151-516)

Enderlein, Thomas. A Review of Career Education Evaluation Studies. Washington, D.C.: U.S. Office of Education; 1976. (ED-141-584)

McLaughlin, Donald and others. Career Education in the Public Schools, 1974-75: A National Survey. Palo Alto, California: American Institutes for Research; May 1976. (ED-122-165)

National Advisory Council on Career Education. The Efficacy of Career Education. Washington, D.C.: The Council; 1976. (ED-130-092)

U.S. Congress. Elementary and Secondary Career Education Act of 1977: Hearings Before the Committee on Education and Labor, House of Representatives, 95th Congress on H.R. 7. (Hearings held in Washington, D.C., February 8, 9; March 1, 2, 3, 1977) Washington, D.C.: U.S. Government Printing Office; 1977. (ED-145-082)

For further information about program operations,

Contact: Dr. Sidney C. High
(202) 245-2331

For further information about studies of program effectiveness,

Contact: Dr. Alice Y. Scates
(202) 245-8380

J. DEVELOPMENTAL PROGRAMS IN EDUCATION

OVERVIEW

Developmental Programs in Education

Improving the Quality of Educational Practices

Several programs administered by USOE have, as one of their purposes, the improvement of the quality of educational practices. Those discussed in this section are selected because improving practices is the primary purpose of these programs. The programs in this category are:

Basic Skills Improvement
Community Education
Consumers Education
Education in the Arts
Environmental Education
Gifted & Talented Educ.
Indian Education, Part B
Indian Education, Part C
Metric Education
Teacher Corps

All of these programs support demonstration projects. Because of limited evaluation funds, however, only Community Education, the Right-to-Read part of Basic Skills, and Teacher Corps have been evaluated.

Community Education. The purpose of the Community Education program is to demonstrate effective practices in community education and to stimulate wide adoption of these practices. A recent study of this program indicates that it has been quite effective in achieving its purposes. Some of the program impacts were:

- substantial levels of effort, essentially in keeping with the terms of the federal grants and federal policy, had been expended;

- these levels of program effort and activity were achieved, in part, because there were substantial commitments of non-federal resources, supplementing the federal funds;
- the majority of the projects which had received federal funds for only one year were continuing at least some of these activities, and in several the level of effort, even without federal funds, had increased; and
- these project-supported activities had produced desired effects on the educational and broader community systems with which they were concerned, and also produced identifiable changes in individuals which were appreciated by these project participants.

The primary negative finding was that recordkeeping at the project level was inadequate. That is, it is clear that programmatically meaningful data do not now exist, nor can they be gathered without a substantial level of effort such as was expended for this study.

Teacher Training. Currently, Teacher Corps is implementing a new program thrust. It is intended that Teacher Corps field projects consist of a consortium of an institute of higher education (IHE), an LEA, and a community advisory group. The goal of these projects is to provide inservice training to teachers responsive to both LEA and community needs with a hoped-for side benefit of reform of IHE teaching practices. Additionaly, the training is intended to instill a greater sensitivity to the needs of minority and/or disadvantaged children so that the teacher can work more effectively with these children. Teacher Corps intends to demonstrate several models directed toward these objectives.

A study of Teacher Corps graduates of preservice training projects showed Teacher Corps to be partially successful in achieving similar objectives. The study shows that Teacher Corps graduates were superior to control group teachers on many of the teacher performance variables desired by Teacher Corps. The Teacher Corps graduates were most different from control group teachers in terms of (a) developing ethnically relevant curricula, (b) using community resources in teaching and initiating contact with parents, and (c) having positive attitudes about reading development and causes of poverty in the society.

These variables reflect a special concern about low-income minority group children on the part of Teacher Corps. However, there were no differences in such areas as being a change agent in the school or the interaction between teacher and pupils in the classroom, as assessed by the teacher performance measures used in the study. Further, there were no significant differences between Teacher Corps and control group classes on any reading measure, despite a greater emphasis on reading instruction and academic subject matter on the part of control group teachers in grades 2-3. Teacher Corps graduates, however, were able to bring about changes in a child's self-concept that were significantly greater than changes brought about by control group teachers. These changes consisted of observed expressions of greater happiness and greater self-worth in the classroom, and better scores on important subscales of the Piers-Harris self-concept scale.

Basic Skills Improvement. This new program is an extension of the Right-to-Read program with increased scope and responsibilities. The new program will address the improvement of written and oral communication skills and of mathematics as well as reading remediation. The transition from Right-to-Read to Basic Skills Improvement will take place in October 1979.

Case studies have been made of the Right-to-Read State Leadership Program. They indicate that the approach taken by Federal administrators responsible for the State Component of the Right-to-Read Program appears to have been successful in that the programs have achieved meaningful effects utilizing a relatively modest amount of money.

- State Right-to-Read Programs have made considerable efforts to involve large numbers of local districts in Right to Read.
- Training has been a major focus in the State Right-to-Read Programs. The number of hours of training provided to local district Directors has varied from at least 30 to more than 200.

- Data indicated that Right-to-Read will continue in many States even in the absence of Federal funds.
- While Right-to-Read programs have been implemented to at least a minimal degree across grade levels, the major programmatic focus of Right to Read has been at the elementary level.
- Reading has been established as a top priority in State Education Agencies and in Local Education Agencies.

It should be noted that none of these outcomes relate directly to reading achievement on the part of students. The reason for this is that this study was designed solely to assess the type and level of technical assistance activities (none of which impact directly on students) which have been fostered by the State Component of Right-to-Read funding.

Overcoming Obstacles to Equal Education Opportunity

There are several USOE programs which have as their purpose overcoming obstacles to learning. Among those having recent data are programs for Native Americans and a program for preventive education on alcohol and drug abuse.

Indian Education. Under Part A of the Indian Education Act, projects to meet the special education needs of Indian children are funded. A study of this Program found that sixty-two percent (62%) of the funded Part A projects contained objectives directed toward the instruction of cultural heritage and native language; fifty-eight percent (58%) had objectives emphasizing remedial reading; fifty-six percent (56%) emphasized self-concept objectives; and forty-six percent (46%) emphasized remedial mathematics objectives. The initiation of innovative projects did not always insure effective implementation. However, the study shows that effective implementation appears to be a function of the project's grant size, objectives, parent involvement, and Indian population density.

Alcohol and Drug Abuse Education. This program has implemented a new strategy which it describes as "teams teaching teams." It is hoped that the new strategy will achieve a multiplier effect through a two-step process: (1) Teams are trained in "clusters" rather than in geographically unrelated groups. (A geographically related cluster is comprised of a team from a high school joined with teams representing the elementary, middle, and/or junior high schools feeding into that high school.) (2) the most impressive trainees in these clusters become, through further training and one year of on-site technical assistance, new trainers for other schools and groups of schools in their district or community, while continuing to receive some technical assistance from the Federal program.

Two studies funded by the program found that (a) trainees felt their training was effective, (b) that one-half to two-thirds of the teams were still functioning a year or two after training, (c) that the majority (about 80%) of the teams were performing activities which they had been trained to perform, and (d) in the judgment of the evaluators, these activities were effective.

There has been no definitive evaluation of impact on student behavior. However, voluntary reports from operating teams cite evidence of substantial decreases in suspensions, vandalism, and discipline infractions. Several teams have provided evidence of a multiplier effect both by increasing the numbers of teams (and therefore schools covered) through training and, in some instances, by raising financial support which cumulatively represent a total significantly in excess of the total funding level for the ADAEP. Since the program does not provide financial support for such reporting, many teams do not provide reports. Thus, it is not claimed that the teams reporting are representative of all teams trained.

Learning Resources to Improve the Educational Experience

A number of programs administered by USOE do not contribute directly to the educational process but do develop resources which serve as a useful adjunct to the process. Most of the programs in this category are those in which the primary function is the improvement of library services; three other programs are involved in some aspect of educational television. The programs are:

Libraries and Learning Resources (ESEA IV-B)
Library Services (LSCA I)
Interlibrary Cooperation (LSCA III)
College Library Resources (HEA II-A)
Library Career Training (HEA II-B)
Library Research and Demonstration (HEA II-B)

Strengthening Research Library Resources Program (HEA II-C)

Undergraduate Instructional Equipment (HEA VI-A)

Educational Television and Radio Programming Support

ESAA-TV Programming Support

Library programs provide a variety of support ranging from grants for "hardware" and "software" to upgrade the resources of school, college, and public libraries, to training fellowships, and to research and demonstration projects to improve the quality of library practices and services. The programs focused on educational television (and radio) either support program (series) development or improvement of broadcast facilities.

ESAA-TV. In the context of an onging study of this program, a survey was conducted to determine the extent **of** viewing of TV series produced with ESAA support. The following findings are a result of this survey:

- Availability to Potential Target Audiences. For the 11 TV series available for viewing, the percentage of potential target audiences residing in areas where the series were aired ranged from 3% to 81%. Four series could be viewed by between 32% and 42%, and four other series could be viewed by 74% to 81% of the potential target audiences.
- Awareness of the TV Series. A relatively small proportion of children were found to be aware of the TV series. The percentages of awareness generally fell in the 20% to 40% range but went

as low as 4% and as high as 55%. Overall, less than a third of the children had heard of the ESAA series being shown in their areas.

- Viewing at Some Time in the Past. Generally, between 10 and 25 percent of the children reported having ever seen an ESAA-TV series.
- Viewed Last Week. The proportions on this variable were low, with most ranging between 0 and 5 percent.
- Preference for ESAA Series. Children were asked to indicate their preference between ESAA series and their competitors in the same time slot. In grades 1 and 4, between 5 and 10 percent indicated preference for the ESAA series; in grades 7 and 10, between 0 and 5 percent indicated this preference.

The viewership data can be interpreted from three perspectives. The first compares ESAA-TV to broadcast entertainment television. Given this standard of comparison, the low viewership of the ESAA-TV series may be a cause for concern. A second standard of comparison is offered by the perspective which sees ESAA-TV as educational/public television. The viewership findings indicate that ESAA-TV is comparable to other public TV programs, which always draw a smaller share of the audience than broadcast entertainment programs. Finally, ESAA-TV can be evaluated as an alternative means to reduce cultural isolation. This perspective seeks to examine the number of children served through the various alternative mechanisms; however, the necessary data for this comparison are not presently available.

Library Programs. Studies of two library programs have recently been completed. The programs evaluated were the Library Research and Demonstration Program and the Interlibrary Cooperation Program.

The HEA II-B Library Research and Demonstration Progam has had a significant impact upon the library and information community. The Program has provided millions of dollars for innovative research and demonstration, where previously there were very few funds available. It is the only Federal Program that as part of its effort, supports a wide range of research to improve public library services. The Program has generated new knowledge about innovative approaches to networking, serving special target groups, utilizing community resources, and new technology. Several projects have been successful locally and a few have had national impact, such as the series of projects which contributed to the development and improvement of the Ohio College Library Center.

Some of the weaknesses of the program include the lack of adequate national dissemination and adaption of successful practices and the lack of a cohesive national program strategy.

LSCA III has impacted the development and expansion of library cooperation in a number of ways. LSCA III is a major driving force behind the development of multitype library cooperation and networking, primarily at the State level. Along with LSCA I, use of LSCA III has resulted in greater centralization of planning and administration of library services at the State and regional levels. LSCA III was credited as a major influence on State legislatures to modify or pass into law legislation favoring cooperation and networking. Activities and services to increase access to library resources and to provide librarians with needed continuing education were listed as the major outcomes of the cooperative and networking projects.

Although LSCA III has had a definite, positive impact on the development of multitype library cooperation and networking, several shortcomings and anomalies were identified. Some of these will require Federal attention and others must be addressed at the State or local level.

First, significant amounts of LSCA I funds (approximately 20 percent of the Fiscal Year 1976 appropriation) were used by the States to partially or completely support multitype library cooperation and networking activities. It is not known if this may be detrimental to the mandate of LSCA I (development and support of State efforts to expand and extend public library services to the unserved and underserved), or if this is an effective means of supporting these types of projects.

Second, LSCA III was providing support for projects that had become integrated into the States' basic programs of library services. This finding should not be interpreted as indicating that the States are misusing LSCA III funds. The legislation clearly specifies that use of LSCA III for the operation of cooperatives and networks is allowed. However, given the modest funding level of LSCA III and the level of use of LSCA I and State funds, a shift in emphasis is called for. Slightly more than 85 percent of the projects receiving LSCA III funds were ongoing projects, scheduled to continue operations for an indefinite period of time. Only 14 percent of the LSCA III supported projects were short-term, trial projects. This suggests that LSCA III funds are being targeted more at operational activities than at the riskier research and development activities.

Further, many of the projects funded by LSCA III were restricted in the range of cooperative and networking services they supported. The interlibrary loan and reference and referral services provided were, no doubt, efficient and a proper means of gaining access to a wide variety of libraries. However, there was some question as to how many patrons actually needed and used such services; and there were a number of other essential library support services, such as document access and sharing, warehousing and shared storage of low-use materials, which were not being provided. The question that must be raised is how more LSCA III funds can be directed towards exploring new forms of cooperation and networking which will further increase the efficiency and economy of library services, as well as increase access to library resources.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Teacher Corps Program

Legislation:	Expiration Date:
Title V-A of the Higher Education Act of 1965 (P.L. 89-329), as amended by P.L. 90-35, P.L. 90-575, P.L. 91-230, P.L. 92-318, P.L. 93-380 and P.L. 94-482	FY 1979 1/

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1966	$ 36,100,000	$ 9,500,000
	1967	64,715,000	11,324,000
	1968	33,000,000	13,500,000
	1969	46,000,000	20,900,000
	1970	80,000,000	21,737,000
	1971	100,000,000	30,800,000
	1972	100,000,000	37,435,000
	1973	37,500,000	37,500,000
	1974	37,500,000	37,500,000
	1975	37,500,000	37,500,000
	1976	37,500,000	37,500,000
	1977	50,000,000	37,500,000
	1978	75,000,000	37,500,000
	1979	100,000,000	37,500,000
	1980	100,000,000	32,000,000

Program Goals and Objectives:

The purposes of Teacher Corps as stated in the legislation are to strengthen the educational opportunities available to children in areas having concentrations of low-income families, to encourage colleges and universities to broaden their programs of teacher preparation, and to encourage institutions of higher education and local education agencies to improve programs of training and retraining for teachers and teacher aides by --

(1) attracting and training qualified teachers who will be made available to local education agencies for teaching in such areas;

1/ This legislation will be automatically extended to FY 1980 if Congress does not act on new legislation before the current expiration date.

(2) attracting and training inexperienced teacher interns who will be made available for teaching and inservice training to local education agencies in such areas in teams led by an experienced teacher;

(3) attracting volunteers to serve as part-time tutors or full-time instructional assistants in programs carried out by local education agencies and institutions of higher education serving such areas;

(4) attracting and training education personnel to provide relevant remedial, basic, and secondary educational training, including literacy and communication skills, for juvenile delinquents, youth offenders, and adult criminal offenders; and

(5) supporting demonstration, documentation, institutionalization, and dissemination of the results.

This last goal reflects several significant changes introduced by the Education Amendments of 1976. One major change was extending the two year grant cycle of previous years to five years. A second was that each Teacher Corps project will emphasize the demonstration of new programs and practices with linkages between preservice and inservice training and which involve the total faculty of a site school. Typical program elements include flexible models of teacher education based on performance criteria; the development of collaborative decision-making procedures that assure parity to the participating college or university, community served by the project, and local education agency; the development of a community component which seeks to lessen the distance between the institutions and community by providing educational services beyond the school walls and involving parents in the classroom program; the demonstration of a major teacher training framework (CBTE, multidisciplinary, research based, etc.) for the demonstration of an integrated program of training and retraining; and an emphasis on the improvement of management within the cooperating agencies of the delivery of education personnel and retraining services including planning, documentation, institutionalization, and dissemination.

In FY 78 Teacher Corps goals and objectives were expanded to include demonstration of training and retraining programs for all educational personnel in grades K-12, in institutions of higher education, and in communities served by these programs. These demonstration programs will be implemented over a five year grant period. Planning to meet this broader, more inclusive mandate began in FY 77; grants were awarded to the first 81 projects in FY 78 and to 51 more projects in FY 79.

Program Operations:

T.C. awards grants to an institution of higher education and a local educational agency, either of which may be the prime grantee, to cooperatively mount and operate a project which will be managed collaboratively. All Teacher Corps projects are funded through competitive grants to achieve the legislated purpose and the four outcomes using the means specified in the Rules and Regulations and the strategies determined by the project.

Projects funded in July 1978 are known as Program 78. New projects in 1979 are known as Program 79. There are 79 Program 78 projects in their second year and 51 Program 79 projects in their first year. After Year 1 of each Program, grantees are eligible to have their grants renewed annually for the four subsequent years. After Year 3 there will be diminishing levels of Federal funds since institutionalization of the activities using local funds is expected to begin.

The organizational structure of the Teacher Corps is as follows: (a) the National Office within the U.S. Office of Education consisting of three Branches--Management, Operations, and Development; (b) a system of Networks operated by Boards, with contracted responsibility to identify and meet needs and provide information links within and among projects of each Network; (c) within a project two groups share information, guide the project, and provide community-based support--an elected Community Council and a project Policy Board (the nucleus on the Board must be the Dean of the IHE, the Superintendent of the LEA and the Chairperson of the Community Council;) (d) also at the local project level, all components collaborate.

The organization of a typical Teacher Corps project in the field usually includes at least one but not more than four schools (where elementary schools must be Title I eligible) within a feeder system; a team of at least four teacher-interns and one experienced teacher as a team leader; an elected community council having at least seven members; an institution of higher education; a local education agency, and other institutions and agencies such as correctional institutions, teacher organizations, professional associations, social service agencies, and students.

When Program 79 began some 58 existing Cycle XII projects which were funded in 1977 for two years were beginning their second and final year of operation.

Program Scope:

During Fiscal Year 1979, the Teacher Corps had 130 operational projects which included the 79 Program 78 projects and the 51 Program 79 projects. These projects are located in 123 school districts, 130 institutions of higher education, and seven State Departments of Education, including outlying regions and correctional institutions, for a total of 264 project sites. Teacher Corps projects, through differentiated staffing and individualized instructional activities, directly affected the learning experience of approximately 520,000 children. Projects impacted on special clientele groups such as bilingual children, Indian children, and children in correctional institutions. Teacher Corps also supported a special program which encouraged high school and college students, parents and other community residents to serve as tutors or instructional assistants for children in disadvantaged areas. In 1979, approximately 25,780 educational personnel are involved in Teacher Corps projects.

Title V, A of the Higher Education Act, Section 517 prohibits using Teacher Corps members to replace any teacher who would otherwise be employed. There is no provision for waivers of this requirement. Compliance is assured by the Teacher Corps regulations, State approval of the project proposal, and scrutiny by specialists on biannual site visits.

Program Effectiveness and Progress:

A Study of Teacher Training at Sixth Cycle Teacher Corps Projects (Feb. 1975, by Pacific T & TA Corp under contract to OED/OE) find that:

- Teacher Corps graduates were superior to control group teachers on many of the teacher performance variables desired by Teacher Corps projects, e.g., developing ethnically relevant curriculum using community resources in teaching and initiating contact with parents, positive attitudes about reading development, and causes of poverty in society.

- There was no difference between the two groups of teachers in terms of (a) their perception of the importance of bringing about educational change in the school, and (b) in reading gains of pupils despite a greater emphasis on reading instruction on the part of control group teachers in grades 2-3.

- Teacher Corps graduates were able to bring about changes in a pupil's self-concept that were significantly greater than changes brought about by control group teachers.

- Teacher Corps graduates who facilitated both high reading gains and improved self-concept tended to be teachers who brought about change in the school and who initiated contact with parents.

- No teacher background characteristics or Teacher Corps program variables were significantly correlated directly with pupil reading gain. A number of Teacher Corps program variables, however, were significantly correlated with pupil self-concept growth and other pupil variables. The consistent pattern of relationship between most pupil variables and Teacher Corps program characteristics strongly suggests that teacher training does make a difference on pupil behavior in the classroom and on related teacher performance.

In April 1977 a paper was done by G. Thomas Fox, Jr. of the University of Wisconsin - Madison on the Limitations of a Standard Perspective on Program Evaluation: The Example of Ten Years of Teacher Corps Evaluations.

- This addresses the problems associated with using a generally standard approach for evaluation of an educational program by reviewing the history of evaluation of Teacher Corps. The three major reasons for choosing Teacher Corps were: (1) Teacher Corps has a long history of change and re-direction in its policy and guidelines, thus making it possible to look at the extent to which evalution studies have affected policy decisions; (2) the complexity of Teacher Corps has provided a challenge to evaluators over the years; and (3) the field of teacher education is in need of greater understanding based upon empirical findings.

Six evaluations are reviewed and Fox concludes that although they "performed credibly from the perspective of standard evaluation," because of the methodology used, they lacked usefulness to the program and decision makers. His recommendations for future studies are incorporated in the new evaluation (described below) for which OED/OE contracted with SRI International in August 1978.

Ongoing and Planned Evaluation Studies:

Teacher Corps projects under broadened program goals and new program regulations began their 5-year grant periods in early summer 1978. A comprehensive longitudinal evaluation of the new program has been developed by OED and a contract awarded in August 1978 to SRI International for the implementation of the evaluation.

The focus of this evaluation is on Program 78 and Program 79 Teacher Corps projects. Some 81 local project grants were funded for Program 78 and 51 for Program 79. Separate grants were made to the participating institutions of higher education, to the LEAs and to the correctional institutions if appropriate.

The work to be performed required the development of a five-year evaluation design. However, the initial procurement will cover the first three years of evalution activities. The five-year evaluation will be conducted in three phases: (1) planning, (2) operations, and (3) analysis and reporting. The period of performance under Phase I and II, Development and Operation, will be 36 months from the date of award. Phase III, Institutionalization and Adaptation, will be an option and if exercised, will have a period of performance of 24 months. Some activities in these phases necessarily overlap. The emphasis is upon what and how the projects tried, implemented, succeeded or failed within the Teacher Corps Program at the local regional and national levels.

Source of Evaluation Data:

1. Annual operational data collected by the Teacher Corps Program.

2. Marsh, David and Lyons, Margaret. A Study of Teacher Training at Sixth-Cycle Teacher Corps Projects. Volume I Methodology and Findings. July, 1974; A Study of the Effectiveness of Sixth-Cycle Teacher Corps Graduates in Highly Innovative Roles in Education: A Follow-up Study. Phase II. February, 1975. Pacific T and TA Corporation. U.S. Department of Health, Education and Welfare, Office of Education, Office of Planning, Budgeting and Evaluation.

3. Fox, G. Thomas. Limitations of a Standard Perspective on Program Evaluation: The Example of Ten Years of Teacher Corps Evaluations. April 1977. University of Wisconsin-Madison.

For further information about program operation,

Contact: Russell Wood
(202) 245-8223

For further information about studies of program effectiveness,

Contact: Eugene Tucker
(202) 245-8380

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Teacher Centers Program

Legislation:	Expiration Date:
Higher Education Act of 1965, Section 532, Title V-B, as amended by P.L. 94-482, Education Amendments of 1976	September 30, 1980

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1977	$ 75,000,000	$ --
	1978	75,000,000	8,250,000
	1979	100,000,000	12,625,000
	1980	100,000,000	13,000,000

Program Goals and Objectives:

The purpose of this program is to make grants to local education agencies to plan, establish, and operate and to institutions of higher education enabling them to operate teacher centers where public school teachers, thorugh Teacher Center Policy Boards, may design and supervise their own programs of curriculum development and inservice teacher training. This training should enable the teachers, and schools, to better meet the educational needs of their students.

Program Operations:

Applications (after approval by the Teacher Center Policy Board) are submitted to the Commissioner of Education through State departments of education. Ten percent of the appropriation funds grants to institutions of higher education, 80 percent goes to local educational agencies, and 10 percent goes to State departments of education to compensate them for screening the applications and for later providing technical assistance and dissemination services to the grantees.

Applications which reach the Commissioner are reviewed by experts drawn from outside of the Office of Education.

The administering unit in OE stimulates sharing of experiences among the project directors by means of regional and national conferences, and facilitates the gathering of evaluative data by special funding to two centers of expertise which in turn help the separate project directors.

Each center that performs satisfactorily may be funded for three years.

Program Scope:

In FY 1979, the program funded a total of 89 grants, including 29 new grants in 41 States, D.C., and Guam. Altogether, 41 States now have centers. All States, whether or not they have received grants, have appointed "Teacher Centers Coordinators" to foster teacher center activities. Altogether, the projects support a total of 130 separate Teacher Centers.

Program Effectiveness and Progress:

Centers funded in FY 1978 have been in operation for only one yera. Accordingly, an assessment of program effectiveness has not been attempted because it is too early.

Ongoing and Planned Evaluation Studies:

No overall evaluation of the Teacher Centers Program has been undertaken by the Office of Education. An exploratory evaluation is planned for 1982.

Sources of Evaluation Data:

Program records.

For further information about program operations,

Contact: Alan Schmeider
(202) 653-5844

For further information about studies of program effectiveness,

Contact: Paul Messier
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Public Library Services

Legislation:	Expiration Date:
Library Services Act, P.L. 84-597, as amended by the Library Services and Construction Act, Title I, P.L. 91-600 effective FY 1972 and further amended by P.L. 93-133, P.L. 93-380 and P.L. 95-123	FY 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
Beginning in 1972, State institutionalized Services (Title IV-A) and Services to the Physically Handicapped (Title IV-B) were combined under Title I. The 1977 amendment requiring a percentage of any excess of funds over $60 million to be reserved for strengthening major urban resource libraries was activated in FY 1979.	1961	$ 7,500,000	$ 7,500,000
	1962	7,500,000	7,500,000
	1963	7,500,000	7,500,000
	1964	25,000,000	7,500,000
	1965	25,000,000	25,000,000
	1966	25,000,000	25,000,000
	1967	35,000,000	35,000,000
	1968	45,000,000	35,000,000
	1969	55,000,000	35,000,000
	1970	65,000,000	29,750,000
	1971	75,000,000	35,000,000
	1972	112,000,000	46,568,500
	1973	117,600,000	62,000,000 1/
	1974	123,500,000	44,155,500
	1975	129,675,000	49,155,000
	1976	137,150,000	49,155,000
	Transition Quarter		12,289,000
	1977	137,150,000	56,900,000
	1978	110,000,000	56,900,000
	1979	140,000,000	67,500,000
	1980	150,000,000	67,500,000

Program Goals and Objectives:

The legislative purpose of the program is to provide support to States: to assist them in providing library services to areas without such services or areas with inadequate services, including services to such groups as the disadvantaged, bilingual, the physically handicapped, those in State-supported institutions and users of major urban resource libraries; to strengthen metropolitan

---

1/ $32,000,000 of the 1973 appropriation was impounded and not released until FY 1974.

public libraries which serve as national and regional resource centers; and to plan programs and projects to extend and improve services. Funds may also be used to strenthen the capacity of the State library administrative agencies to serve people and for administrative costs for all Library Services and Construction Act programs.

Program Operations:

LSCA, Title I, allots funds to the States by grants on a formula-matching basis. Each State, and D.C. and Puerto Rico, receives a base of $200,000 and each outlying Territory receives a base of $40,000, with the balance distributed on the basis of total resident population. The Federal share ranges from 33 percent to 66 percent except for the Trust Territories, which are 100 percent federally funded. States must match in proportion to their per capita income and maintain the level of expenditures of the second preceding year. They must also maintain the same level of fiscal effort of the second preceding year for handicapped and institutionalized library services. Federal expenditures for administration of the program must be matched with an equal amount of non-Federal funds. States with cities of 100,000 population or more must reserve funds for major urban resource libraries according to a statutory formula when the appropriation exceeds $60 million and may not reduce the amount paid to these libraries below the amount they received in the preceding year. In order to participate, each officially designated State library administrative agency must submit a basic State plan (State/Federal agreement), an annual update of the long-range program for library development based on the State's assessed needs, an annual program and an annual evaluation report. These documents outline a State's goals, objectives, priorities, and activities, along with project evaluation for specified periods of time. Furthermore, they provide to the U.S. Commissioner of Education assurances that the above mentioned specific requirements will be met annually as stated in the State/Federal agreement signed by both parties.

Program Scope:

1. Federal dollars appropriated (1957-79)	$720,173,500
2. State and local matching dollars (1957-79)	over $2-1/2 billion

Estimated FY 78 data for this program are as follows:

3. Population with access to public library services	201,000,000

4.	Disadvantaged persons receiving services from LSCA funds	29,000,000
5.	Number of State institutionalized persons served by LSCA funds	800,000
6.	Number of handicapped persons served by LSCA	480,000
7.	Number of metropolitan libraries strengthened as resource centers	109
8.	Number of cities with populations of 100,000 or more which may qualify for portion of funds in excess of annual appropriation of $60 million.	170

Program Effectiveness and Progress:

Federal assistance has contributed to the expansion and improvement of library services throughout the country. Today, about 96 percent of the population has access to some form of public library services. Current reports indicated that over 60 percent of the LSCA expenditures have gone to projects with designated disadvantaged priorities.

- Governors Conferences, held in Fiscal Year 1979 in preparation for the White House Conference on Libraries and Information Services, to be held in November 1979, have spurred citizen participation in evaluating present and planning future library and information services, State by State.

- Public library services that link individuals with available, necessary information for self-help, coping, employment and learning skills are expanding. Information and referral (I&R) services are growing and it is estimated that 60% of all public libraries are providing some form of I&R.

- Services to handicapped persons and other special identified groups are expanding. With LSCA support, libraries are utilizing new technology and developing new delivery strategies to reach the visually impaired, deaf, and other physically disabled persons in the population. New media being used include reading machines, teletypewriters, and radio receivers. Libraries are removing their access barriers and delivering programs outside the library to institutions, and homes, and into rural areas by mail, in an effort to reach more handicapped and isolated persons.

- Increased literacy programs in libraries are attracting adults and young adults who are learning reading skills in the non-classroom atmosphere of the libraries. Often tutors and teachers are volunteers.

- Through responsive library programs, independent learners are pursuing their special interests, upgrading their professional knowledge and job skills.

The first study of the impact of Title I services, covering the period from 1964 to 1968, was made by the System Development Corporation (SDC), Santa Monica. In reviewing the LSCA activities in 11 States it found that most projects felt handicapped by: lack of manpower; lack of coordination among public libraries and other education agencies; need for research in determining whether disadvantaged projects were reaching their goals; lack of understanding on the part of the public of library's potential and actual services; lack of ability of libraries to react quickly to public demands for more services; and lack of suitable measurements of library performance.

The Behavioral Science Corporation, Washington, D.C., conducted a study to evaluate public library service to disadvantaged people in selected cities. These projects were not limited, however, to Title I projects. This pilot study selected library programs serving the disadvantaged in 15 cities and utilized user and nonuser interviews for evaluation. The study recommended that libraries find better ways to coordinate with schools when dealing with disadvantaged children. The successful programs were characterized by some or all of the following features: active participation by the target group; emphasis on audio visual rather than print materials; and provision of significant service in the community.

Another major evaluation study was conducted by SDC to determine how the Library Service and Construction Act, Title I, was meeting the public library needs of special clientele groups; e.g., disadvantaged, ethnic minorities, handicapped, and institutionalized persons. This evaluation surveyed all State Library Agencies, all known ongoing projects directed toward these groups, and discontinued projects. This study provided an inventory of projects, a needs assessment, and recommendations for program change. Over 1,600 projects were identified and queried. It was found that many projects classified as discontinued (these projects had been initiated with LSCA funds) were operational because of funds received from State or local agencies. A methodology specifying criteria to judge program effectiveness was developed, and was tested and validated with a sample of projects.

The report concluded:

> It is evident from the data gathered in this project that LSCA projects directed toward special clientele have been successful, to some extent. More projects are successful than unsuccessful, and fairly significant numbers of special clientele groups have been reached. It is also evident that some projects are far from successful. Many important needs are not being met, or barely being met, even by projects judged successful...
>
> In many States it was evident that were federal funds not available, there would be no projects whatsoever for special clientele. Indeed, in one State plan that was examined the statement was made that, while there were special clientele in the State, no projects need be directed towards them because the state intended to give service to all of its citizens on an equal basis: That naive attitude represents -- all too frequently -- the lack of knowledge and concern that exists at many levels of state and local government. Special clientele frequently need to be educated to become users, and persuaded that the library has something of value for them. LSCA funds have been a critical factor in projects for special clientele, and they have provided the bulk of the funds being used for innovative projects; without LSCA (or a real substitute) there would be little or no innovation -- in short, a rather static, even moribund public library in the U.S.

A subsequent study of "The Public Library and Federal Policy," performed by SDC, assessed the current national public library situation utilizing existing data and included recommendations for further data collection efforts in areas of current information deficiencies. The final report stated:

> In this study we examined the past and present status of the public library and likely directions for the future. Based upon our examination of the public library as an information-providing institution, and our certainty that free access to all kinds of information is a requirement of a democratic society and a necessity for individual well being, [it was found that]

> The Federal government has played a role in recent years of helping the public library to organize into systems and to provide services to segments of the population who were previously unserved. While there are indications that Federal programs suffered from insufficient coordination, insufficient evaluation, and inadequate funding, there is much evidence to demonstrate that a strong impetus toward system organization and the provision of services to special clientele were provided by Federal intervention.

In addition to these major studies, inhouse program analyses and observations made by regional and headquarters staff, and the American Library Association's 20-year LSCA survey results, indicate the following accomplishments of LSCA.

With its matching requirements, LSCA has increased the overall availability of library services by stimulating programs for statewide public library development. Since the inception of LSCA, 18 additional States have initiated grants-in-aid programs, bringing the total of such programs to 41 with annual appropriations exceeding $138 million. Statistical tabulations show that the number of persons with access to public library services has risen from 88 million to 201 million a dramatic increase from 56 percent to 96 percent of the total U.S. population being served.

An examination of expenditure reports reveals a marked decrease in the use of LSCA funds for administrative purposes, with a major drop from 7.2 percent to 4 percent occurring since 1975. Current breakouts of expenditures show 4 percent used for administration; 11 percent for strengthening the State agency to provide improved services throughout the State; 19 percent for statewide programs, such as films, cooperative book purchasing and processing, inservice training workshops, etc.; and 66 percent used for local level projects.

LSCA has stimulated major inroads in critical needs areas by providing funds to initiate innovative and specialized services. New and previously unserved handicapped clienteles, in particular the less visible populations such as the deaf, mentally retarded, learning disabled, and the homebound are now being offered specially designed services and materials. LSCA has also prompted recognition and response to the cultural and linguistic needs of smaller ethnic enclaves, such as Cape Verdeans, Armenians, Greeks, Lithuanians, Vietnamese and other Asian newcomers, while continuing to build services to the major Spanish-speaking ethnic populations.

Ongoing and Planned Evaluation Studies:

"An Evaluation of Title I of the Library Services and Construction Act," began in the fall of 1978 and is scheduled to be completed by October 1980, with interim findings available by October 1979. The final evaluation will show: how more than 20 years of Federal support have affected public library service in the United States; what changing funding patterns at State and local levels have resulted from the use of this legislation; what the location and demographic characteristics of library users and nonusers are; and how Title I has impacted on interlibrary cooperation, library personnel, and other related issues.

Sources of Evaluation Data:

1. Overview of LSCA Title I, by System Development Corporation, published by Bowker, 1968.

2. A Study of Public Library Service to the Disadvantaged in Selected Cities, Behavior Science Corporation, 1970.

3. Study of Exemplary Public Library Reading and Reading Related Programs for Children, Youth and Adults, by Barss, Reitzel & Assoc., Inc., 1972.

4. Basic Issues in the Government Financing of Public Library Services, Government Studies and Systems, May 1973.

5. Evaluation of LSCA Services to Special Target Groups, by System Development Corporation, July 1973.

6. The Public Library and Federal Policy -- by System Development Corporation, July 1973.

7. Various Library Desmonstration Projects: These projects are designed to survey and analyze the public library and information services to the American Indian, the aging, the handicapped institutionalized, and the information needs of the rural and urban poor.

8. Program Operational Data.

For further information about program operations,

Contact: Mrs. Elizabeth Hughey
(202) 472-5150

For further information about studies of program effectiveness,

Contact: Arthur S. Kirschenbaum
(202) 245-8380

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Interlibrary Cooperation

Legislation:

Library Services Act, P.L. 84-597 as amended by Library Services and Construction Act, Title III, P.L. 89-511 as amended and extended by P.L. 91-600 and P.L. 95-123.

Expiration Date:

FY 1982

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1967	$ 5,000,000	$ 375,000
	1968	7,500,000	2,256,000
	1969	10,000,000	2,281,000
	1970	12,500,000	2,281,000
	1971	15,000,000	2,281,000
	1972	15,000,000	2,640,500
	1973	15,750,000	7,500,000 1/
	1974	16,500,000	2,593,500
	1975	17,300,000	2,594,000
	1976	18,200,000	2,594,000
	Transition Quarter		648,000
	1977	18,200,000	3,337,000
	1978	15,000,000	3,337,000
	1979	20,000,000	5,000,000
	1980	20,000,000	5,000,000

Program Goals and Objectives:

The legislative purpose of the program is to establish and maintain local, regional, State or interstate cooperative networks of libraries and for the coordination of informational services of school, public, academic, and special libraries and information centers, permitting the user of any one type of library to draw on all libraries and information centers. The participation of one other type library in addition to a public library is a program requirement.

Program Operations:

The Library Service and Construction Act (LSCA), Title III, allocates funds to the States on a formula basis. Each State receives a minimum sum of $40,000, and the outlying territories $10,000, and the remainder is allocated by population. The State library agency must submit its Annual Program Plan (proposed expenditures of funds) before it can receive its

---

1/ $4,770,000 of the FY 73 appropriation was impounded until FY 74. Actual FY 73 obligations were $2,730,000.

allocation. Title III does not require State or local matching funds, although many projects do use State and local funds along with LSCA funds.

Program Scope:

The FY 78 appropriation provided support for cooperative networks involving the sharing of resources among 7,575 libraries of at least two or more of the following four types: school, academic, public, or special. Based on the annual programs for FY 78, the table indicates how FY 78 funds were budgeted.

Category	No. of States Reporting	% of Total Expenditures
1. Telecommunications networks for reference and bibliographic services and interlibrary loan	46	59%
2. Centralized acquisition and processing materials	8	5%
3. Centralized listing of holdings of library materials (books, periodicals, audiovisual, etc.)	22	4%
4. Comprehensive statewide planning	6	1%
5. Training of specialists in interlibrary cooperation	9	1%
6. Networking among States	16	1%
7. Combinations of above categories	28	29%

Program Effectiveness and Progress:

- Participation by all types of libraries in telecommunications and information processing systems has increased.
- Access to computer-based information services through regional, State, and multi-State cooperative networks has been made available to more people, including those in sparsely populated rural areas.

- Planning within States, as well as among States, for coordination of library and information services has increased.

- Bibliographic data banks have been expanded to include the holdings of many libraries of different types within regions, statewide and in multi-State areas.

A study of library cooperatives, networks, and demonstration projects was completed in April 1978, by Applied Management Sciences, Silver Spring, Md. It states, "LSCA III has impacted the development and expansion of library cooperation in a number of ways. LSCA III is a major driving force behind the development of multitype library cooperation and networking, primarily at the State level. Along with LSCA I, use of LSCA III has resulted in greater centralization of planning and administration of library services at the State and regional levels. LSCA III was credited as a major influence on State legislatures to modify or pass into law legislation favoring cooperation and networking. Activities and services to increase access to library resources and to provide librarians with needed continuing education were listed as the major outcomes of the cooperative and networking projects."

Ongoing and Planned Evaluation Studies:

None

Source of Evaluation Data:

1. A Study of Library Cooperatives, Networks, and Demonstration Projects, by Applied Management Sciences, 1978.

2. Program operational data.

For further information about program operations,

Contact: Mrs. Elizabeth Hughey
(202) 472-5150

For further information about studies of program effectiveness,

Contact: Arthur S. Kirschenbaum
(202) 245-8380

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

College Library Resources

Legislation:

Higher Education Act of 1965,
Title II-A

Expiration Date:

FY 1979

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1966	$50,000,000	$10,000,000
	1967	50,000,000	25,000,000
	1968	50,000,000	24,522,000
	1969	25,000,000	25,000,000
	1970	75,000,000	9,816,000
	1971	90,000,000	9,900,000
	1972	18,000,000	11,000,000
	1973	75,000,000 (II-A&B)	12,500,000
	1974	85,000,000 (II-A&B)	9,975,000
	1975	100,000,000 (II-A&B)	9,975,000
	1976	100,000,000 (II-A&B)	9,975,000
	1977	110,000,000 (II-A&B)	9,975,000
	1978	115,000,000 (II-A&B)	9,975,000
	1979	120,000,000 (II-A&B)	9,975,000
	1980	120,000,000 1/ (II-A&B)	4,987,500

Program Goals and Objectives:

The legislation provides for grants to eligible institutions to assist and encourage them in the acquisition of library resources (including law library resources), such as books, periodicals, documents, magnetic tapes, phonograph records, audiovisual materials and other related materials (including necessary binding). Eligible institutions are defined as institutions of higher education and other public and private nonprofit library institutions whose primary function is providing library services to institutions of higher education on a formal cooperative basis.

Program Operations:

Three types of grants can be awarded: (1) Basic grants of up to $5,000, provided that the applicant expends at least the same amount from institutional funds for library resources; (2) Supplemental grants of up to $20 per student, provided that the applicant

---

1/ Authorization based on automatic one year extension by the General Education provisions Act.

meets the eligibility terms for a Basic grant; and (3) Special Puprose grants, unrestricted as to the amount requested but which must be matched with $1 of institutional funds for library resources for every $3 of Federal funds requested.

For both the Basic and Special Purpose grant categories, applicants must meet maintenance-of-effort requirements in two areas: total library purposes and library resources. In the fiscal year of application, the applicant must expend, or plan to expend, an amount equal to or in excess of the average of the 2 fiscal years preceding the year of application for total library purposes; in the year of application, the applicant must expend, or plan to expend, an amount equal to or in excess of the average of the two fiscal years preceding the year of application for library resources. Under certain circumstances, a waiver may be granted from maintenance-of-effort requirements. In the case of Special Purpose grants, the matching share must be in addition to the base 2 year average for library resources institutional expenditures.

Closing date notices for Title II-A Basic Grants are announced annually in the FEDERAL REGISTER. The applications are reviewed for completeness, eligibility, adherence to maintenance of effort, matching requirements, and requests for waiver. All applicants whose eligibility status has not been determined are referred to the College Eligibility Section, Division of Eligibility and Agency Evaluation, Office of Education. Upon review and approval the applicants are placed on the funding list. Otherwise they are notified of rejection due to failure to meet the published criteria. Recipients of II-A awards are required to submit annual fiscal reports. The OE staff conducts on-site monitoring.

Program Scope:

Only basic grants have been awarded since Fiscal Year 1974. Basic grants of up to $5,000 must be awarded to all eligible institutions before other types of grants may be awarded. About $13 million would be needed in 1980 to fully fund basic grants.

In the early years of the program, annual appropriations of about $25,000,000 provided each applicant with a basic grant of $5,000 and also allowed substantial supplemental and special purpose grants. In FY 71 and 72 appropriations were reduced and priority was concentrated on the neediest institutions, on the basis of recommendations made by the staff and the Commissioner's Advisory Council on Library Training. This approach was predicated on data indicating that most junior colleges and many urban institutions were far below national standards. However, the Education Amendments of 1972 prescribed that the first priority was to award basic grants to all eligible institutions. Since 1974 appropriations have been constant at a level of $9,975,000; annually allowing only for awarding Basic grants averaging about $4,000.

Fiscal year	Appropriation	# Applicants	$ Grant
74	9,975,000	2,377	$ 4,235
75	9,975,000	2,569	3,918
76	9,975,000	2,560	3,930
77	9,975,000	2,600	3,855
78	9,975,000	2,568	3,906
79	9,975,000	2,538	3,963

In fiscal year 1979 2,538 basic grants averaging $3,963 were distributed for use between October 1, 1979 and September 30, 1980. Grants by type of institutions were:

Colleges and Universities	1,365
Two year colleges including vocational and technical schools	1,148
Public and Non Profit Library Institutions	25

Since the inception of the program in 1966, approximately 2,300 institutions of higher education have participated annually, and 36,489 awards for basic, supplemental and special purpose grants totalling $187.58 million have been made.

Program Effectiveness and Progress:

At least 200 institutions improved their libraries sufficiently through this program to receive accreditation, mostly in the 1960's.

In the early 70's a study showed that many institutions gave priority to the utilization of II-A grants to purchase materials on urban studies, ethnic studies, and career education materials. It has been estimated that 75% of the funds were used for the acquisition of printed materials and 25% for non-print audio-visual materials.

During OE Field Visits, librarians have commented that the availability of even $4,000 in unrestricted funds, not part of any departmental book budget, gives them assistance in filling special needs. In some cases librarians use the II-A funds to "match" funds of departmental requests to acquire special publications or materials not in the regular budget.

Ongoing and Planned Evaluation Studies:

None

Sources of Evaluation Studies:

Program operational data

For further information about program operations,

Contact: Mr. Frank A. Stevens
(202) 245-9530

For further information about studies of program effectiveness,

Contact: Arthur S. Kirschenbaum
(202) 245-8383

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Library Career Training

Legislation:

Higher Education Act of 1965,
Title II-B

Expiration Date:

FY 1979

FUNDING HISTORY

YEAR	AUTHORIZATION	APPROPRIATION
1966	$15,000,000	$ 1,000,000
1967	15,000,000	3,750,000
1968	15,000,000	8,250,000
1969	11,800,000	8,250,000
1970	28,000,000	4,000,000
1971	38,000,000	3,900,000
1972	12,000,000	2,000,000
1973	(See HEA II-A College Library Resources Authorization)	3,572,000
1974		2,850,000
1975		2,000,000
1976		500,000
1977		2,000,000
1978		2,000,000
1979		2,000,000
1980		1,000,000

Program Goals and Objectives:

The purpose of this program is to respond to the need for professional personnel and the shortage of paraprofessionals, focusing on the recruitment of minority groups, including women, to serve in all types of libraries. Another thrust is the retraining of professional librarians and allied personnel in new and developing areas (e.g., networking, service to special clientele, middle management, and media utilization) to make those in the field more responsive to user needs. The fellowship program is directed at upgrading the skills of minorities, including women, needed to assume high level positions in library supervision, administration, and leadership, and to enable library schools to prepare librarians to provide more effective service to the unserved and disadvantaged.

Program Operations:

This is a discretionary grant program which provides assistance to non-profit institutions of higher education and library organizations and agencies for the purpose of training and retraining librarians and information scientists including paraprofessionals, for service in all types of libraries and information centers. Professional training is accomplished through short and long-term institutes, traineeships, and pre-and post-baccalaureate fellowships. In accordance with legislative mandate, 50 percent of all program funds are used to support academic fellowships and traineeships. Under the institute program, funds are used to reimburse the grantee institution for the direct costs of conducting the training project. A stipend may be paid to participants based upon the level of training, the length of the training program, and the amount of previous work experience or training of the participant. Under the fellowship program an institutional support payment is provided to an institution to assist in covering the cost of the training courses. stipends paid to each fellowship recipient are based on the level of training and the amount of previous work experience or training of the individual. Under both program dependency allowances may be paid to individuals for each eligible dependent. A traineeship grantee may choose either the fellowship or institute mode of reimbursement. Applications are submitted annually on a competitive basis. Final selection of grantees is made by authorized program officials following the evaluation of each application by an outside panel of experts, based upon published selection criteria. The program is administered throug correspondence, telephone communication, attendance at professional meetings, and review of required fiscal, narrative and evaluation reports. Site visits are made on a random basis to approximately 25 percent of the projects. Each project must contain provisions for an external and internal evaluation which ensures effective program assessment. These evaluation reports are carefully reviewed by program staff to determine if program objectives were accomplished. Grantees report their activities to the program office through required fiscal, narrative and evaluation reports. All projects include a dissemination component which may include the production of films, film strips, and video tapes to be shared at professional conferences and meetings, and the submission of reports to ERIC and the professional literature.

Program Scope:

The fiscal year 1979 appropriation of $2,000,000 provided for 36 fellowship grants totaling $1,054,550 to institutions of higher education in 22 States. The awards supported 134 master's

4 post-master's, 19 doctoral, 2 baccalaureate, and 3 associate level fellowships. The cost per fellowship at the master's level is $6,600, at the doctoral level $8,300, and at the associates level $5,050. The average amount of a fellowship award is $29,293 with a range of $12,600 to $84,200. In 1979, it is estimated that over 75 percent of the fellowship awards made by grantee institutions will be to ethnic minorities. Twenty-four institute grants totaling $945,450 went to institutions of higher education and library organizations to train an estimated 1,081 individuals in 18 States. Twenty-five participants will obtain their master's degree in library science, 830 participants will be professional librarians, who will be trained in the use of new skills, and 226 participants will be trained at the paraprofessional level. The cost per participant is $875; the average amount of institute award is $39,394 with a range of $10,027 to $84,147.

Specific Aims of this Program are:

o Reform and revitalize traditional practice and curriculum.

o Design quality educational opportunities for educationally disadvantaged.

o Provide suppliers of improved information services to special target groups.

o Train personnel to improve administration of all types of libraries.

o Improve information access.

An institute program to train 120 special librarians in managerial positions is being conducted with FY 78 funds. The goal of this project is to develop and evaluate a continuing education curriculum for practicing special librarians. Upon completion a description of the program will be disseminated to other library agencies nation-wide which contains administrative guidelines and a curriculum guide incorporating a series of specialized instructional materials. Graduate library schools have introduced innovative curricula to prepare librarians to provide more effective library service to the handicapped, minorities, rural and urban populations. They include such innovations as a joint law/librarianship degree, gerontology specialization, emphasis on ethnic bibliography and race relations, and research competence.

Another FY 78 project has trained 24 inmates in four State correctional institutions as library/media technical assistants. The program has increased the skills and credentials of inmates presently working in libraries and improved library services to the inmate population. The continuation of this project is planned through local funding in three additional correctional institutions. Twenty-six of the FY 78 fellowship grants were designed for the recruitment of minorities, handicapped and economically disadvantaged whites.

During FY 78 an additional 300 librarians have been retrained in new skills and practices related to social and educational need, e.g., the development and use of collections for the Spanish-speaking, sensitivity to the needs required to provide effective library service to the deaf, techniques in serving the handicapped, skills in developing programs of library service for the needs of the elderly, ethnic genealogy, the "back to basics" movement and its implications for school media programs, developing skills necessary for effective consulting, and the contribution of librarians to the provision of patient/health education.

Three institutes were conducted in FY 78 to improve management in all types of libraries. Academic and public librarians were trained in basic skills of management with an emphasis on interpersonal relations; library managers were trained in overcoming the sexual, racial and ethnic stereotyping which prevents the proper utilization of women and minorities in management positions; and middle-management librarians received formal training in management and communications skills.

Academic reference librarians were trained on the use of government publications and in the means of accessing the information in government publications. Government documents cover a wide scope of subjects such as drug abuse, environment, early childhood education, and mental health. They comprise an information resource whose incorporation in the mainstream of library services should be a priority goal. In many libraries, however, government publications remain vastly underutilized. This project was an attempt to make these materials more accessible to the library user.

Program Effectiveness and Progress:

No known or current data exist which address program effectiveness. This deficiency should be corrected by the planned study.

Ongoing and Planned Evaluation Studies:

An exploratory evaluation is planned for Fiscal Year 1980.

Sources of Evaluation Data:

Program files which contain narrative and fiscal reports, personal interviews, and professional literature.

Overview of the Library Fellowships Program, by the Bureau of Social Science Rsearch, Inc., of Washington, D.C. 1970.

Data Collection and Description of HEA Title II-B Institutes, by Rutgers, New Brunswick, New Jersey, 1972.

For further information about program operations,

Contact: Mr. Frank A. Stevens
(202) 245-9530

For further information about studies of program effectiveness,

Contact: Arthur S. Kirschenbaum
(202) 245-8380

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Library Research and Demonstration

Legislation:

Higher Education Act of 1965,
Title II-B

Expiration Date:

FY 1979

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1967	(See HEA II-B Library Career Training authorization for FY 1967 through FY 1972)	$3,550,000
	1968		3,550,000
	1969		3,000,000
	1970		2,171,000
	1971		2,171,000
	1972		2,750,000
	1973	(See HEA-IIA College Library Resources Authorization) for FY 1973 through FY 1980)	1,785,000
	1974		1,425,000
	1975		1,000,000
	1976		1,000,000
	1977		1,000,000
	1978		1,000,000
	1979		1,000,000
	1980		-0-

Program Goals and Objectives:

The purpose of the program is to provide support for research and demonstration projects for the improvement of libraries and training in librarianship. Projects are funded which provide improved information services to special target groups; improve administration of all types of libraries on a national basis; and improve information access.

Program Operations:

OE makes discretionary grants and contracts to public and private organizations and agencies including institutions of higher education.

Proposals are submitted to the Office of Education in response to the Notice of Closing Date published annually in the Federal Register. Subject matter and proposal content are determined by the applicant but must respond to the published rules and regulations. Applications are reviewed by a panel composed of Federal and non-Federal experts. Funds are issued directly to the institution receiving award. Grantees are required to submit quarterly and final reports. Program staff conduct site visits on a quarterly basis.

The following are descriptions of areas of need either currently addressed or funded under the demonstration program:

1. Institutional cooperation: cooperation among academic, public, and special libraires and between them and other institutions; e.g., museums, community colleges, etc.
2. Improvement of library efficiency and general service development (software, hardware, and organizational methods) to provide better user service.
3. Improving training in librarianship and in new technologies to provide better user service.
4. Service development, particularly to special target groups (aging, poor, ethnic minority, rural, etc.)

Program Scope:

In fiscal year 1979, this program is supporting 11 projects. Four projects deal with service to disadvantaged groups. Three projects are concerned with functional development, i.e., reader services, processing (including acquisitions) etc. Two projects involve planning and development, one with technology and one with education and training.

- o Federal dollars appropriated since 1967 - $25,402,000
- o Number of projects assisted (1967-1979) - 305
- o Grants range from $28,000 - $145,000

Program Effectiveness and Progress:

- o The program has shifted emphases to meet the information needs of special groups.
- o Program involvement in automated library techniques was deemphasized.
- o Trend has developed toward funding demonstrations as opposed to research projects.

The Library Research and Demonstration Program since its inception in 1967 has responded to legislative intent by supporting the design of quality educational opportunities for the economically disadvantaged or for those for whom the traditional educational experience has not proven feasible; and by demonstrations designed to provide improved information services with emphasis on selected target groups, general service improvement, greater efficiency and cost reduction and improvements in library education.

Since 1967, over $25 million has been used for research and desmonstrations relating to the improvement of library services. Present program focus is to move away from technical research and toward demonstrating patterns of interagency cooperation to provide better services to special groups.

A study of library cooperatives, networks, and demonstration projects was completed in April 1978, by Applied Management Sciences, Silver Spring, Md. It states "The HEA II-B Library Research and Demonstration Program has had a significant impact upon the library and information community merely by virtue of its existence. The Program has provided millions of dollars for innovative research and demonstration, where previously there were very few funds available. It is the only Federal Program that as part of its effort, supports a wide range of research to improve public library services. The Program has generated new knowledge about innovative approaches to networking, serving special target groups, utilizing community resources, and new technology. Several projects have been successful locally and a few have had national impact, such as the series of projects which contributed to the development and improvement of the Ohio College Library Center (OCLC)."

"The Impact of the Program has been diffused through several major shortcomings: lack of a cohesive national plan for the direction of the Program, lack of adequate dissemination at the national level, and lack of other aspects of a linkage system that would propel the findings of this Program into practical applications on a wide scale. The Program has not realized its full potential. In order to be more successful, the Program needs to be more focused, more adequately funded, and given greater control over the grants process."

Ongoing and Planned Evaluation Studies:

None

Source of Evaluation Data:

1. A Study of Library Cooperative, Networks and Demonstration Projects, by Applied Management Sciences, 1978.

2. Program Operational Data.

For further information about program operation,

Contact: Mr. Paul C. Janaske
(202) 245-9687

For further information about studies of program effectiveness,

Contact: Arthur S. Kirschenbaum
(202) 245-8380

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Strengthening Research Library Resources

Legislation:	Expiration Date:
Higher Education Act of 1965, Title II, Part C	FY 1979

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1977	$10,000,000	-0-
	1978	15,000,000	$ 5,000,000
	1979	20,000,000	6,000,000
	1980	20,000,000 1/	6,000,000

Program Goals and Objectives:

The legislation provides for grants to major research libraries for the purpose of promoting research and education of higher quality through the maintenance and strengthening of their collections and making their holdings available to individual researchers and scholars outside their primary clientele and to other libraries whose users have need for research materials. A major research library is defined as a public or private nonprofit institution including the library resources of an institution of higher education, an independent research library or a State or other public library having library collections which are available to qualified users and (1) makes a significant contribution to higher education and research; (2) are broadly based and are recognized as having national or international significance for scholarly research; (3) are of a unique nature and contain material not widely available; and (4) are in substantial demand by researchers and scholars not connected with that institution.

Program Operations:

Not more than 150 institutions may receive a grant under this program in a single fiscal year. No institution receiving a grant under this part may be eligible to receive a basic grant under Title II, Part A, of the Act in the same fiscal year. A reasonable effort will be made to achieve a regional balance in the allocation of funds. Each institution is limited to one application which may include more than one project. Funds provided may be used for the acquisition of books and other library materials; binding, repairing, and preserving books and

---

1/ Authorization based on automatic one-year extension by the General Education Provisions Act.

other library materials; cataloging, abstracting, and making available guides of library collections; distributing materials and bibliographic information to users beyond primary clientele; acquisition of equipment, supplies, and communication expense; hiring necessary additional staff to carry out funded activities. This is a small discretionary grant program, with an annual competition involving the use of an outside review panel as well as staff review. Coordination with State library agencies is legislatively mandated, and monitoring is conducted through site visits, analysis of reports, professional meetings, etc.

Program Scope:

In FY 1979 26 awards for 34 projects were funded. The grants range in size from $69,000 to $800,000. Each of the II-C Regions are represented on the award list. Fifteen of the projects are non-competing continuation projects designed to be carried out over a two to three year period. An additional 8 institutions will receive assistance under the awards as joint grantees. Of the 26 grantees, twenty are university 3 are independent research libraries, 2 are public libraries, and 1 is a State library.

Three main thrusts of the recommended projects are collection development, resource sharing capability, and preservation of materials.

Specific Methods to achieve program goals are:

- o Acquisition of additional unique and specialized library materials.
- o Increase the amount of interlibrary loan transactions.
- o Preservation of rare and unique materials to permit utilization, duplication, and sharing.
- o Initiation of specialized research projects.
- o Initiation and development of networking activities.
- o Promote inter-institutional cooperative activity.

In order to achieve maximum program impact, the Commissioner established the goal of awarding about 20 grants averaging at least $250,000 each. Cost-effectiveness was inherent in this goal so that larger amounts of grant funds to truly "major" research libraries would have a higher "pay-off" in terms of additional staffing, acquisitions, hardware, and other activities to promote and accelerate resource-sharing.

Program Effectiveness and Progress:

Data provided through interim program reports indicate that over 15,000 additional interlibrary loan transactions have, or will have, occurred in the 1978-79 academic year as a direct result of HEA II-C support. Such activity means that research and scholarship throughout the Nation will benefit substantially because of the provision of resources which otherwise would not have been available.

In order to make available rare and unique library materials which are unable to be loaned or duplicated because of severe deterioration, a substantial amount of grant funds have been, or are being, used for preservation projects. It is estimated that, in the first year of program operations (FY 78), over 20,000 items were preserved, so that they are now available either by interlibrary loan, duplication, or utilization on-site. In the past, these items have been totally unavailable.

As the library profession progresses toward the planning and implementation of a national network of bibliographic control, it is essential that the major research libraries of the Nation begin or accelerate computerized systems to feed into it. All of the 20 projects funded in FY 78 under HEA II-C are doing this in one form or another and are leading the way for countless other libraries to participate in such activities. A "spin-off" of this activity is the strengthening of regional networking activities, which are essential to the development of a national network. All of this means that thousands of properly cataloged library items are in the computer and bibliographically accessible to hundreds of libraries and thousands of scholars and researchers. This bibliographic data also contributes to the savings of many professional and nonprofessional man-hours to duplicate the basic cataloging, classifying, and indexing functions which would have to be performed locally without such a national data base.

Another cost-effective aspect of the program is the evolution of inter-institutional cooperation, particularly with regard to collection development and collection building. As the national data base is built and as specialized collections are developed and strengthened, libraries become aware of who has what and avoid duplicating those items which are prohibitively expensive and seldom in great demand and begin to develop cooperative programs of acquisition and sharing. Carried to its logical conclusion in subsequent years of program operation, Title II-C will therefore foster maximum efficiency in research library development, utilization, and activity.

Ongoing and Planned Evaluation Studies:

An exploratory evaluation of this program is planned for Fiscal Year 1981.

Sources of Evaluation Data:

Program Files

For further information about program operations,

Contact: Mr. Frank A. Stevens
(202) 245-9530

For further information about studies of program effectiveness,

Contact: Arthur S. Kirschenbaum
(202) 245-8380

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Educational Broadcasting Facilities

Legislation:

Communications Act of 1934
Part IV Title III P.L. 95-567

Expiration Date:

FY 1981

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1965	$ 32,000,000	$ 13,000,000
	1966	for 5-year	8,826,000
	1967	period 63-67	3,304,000
	1968	10,500,000	-0-
	1969	12,500,000	4,000,000
	1970	15,000,000	4,321,000
	1971	15,000,000	11,000,000
	1972	15,000,000	13,000,000
	1973	25,000,000	13,000,000
	1974	25,000,000	15,675,000
	1975	30,000,000	12,000,000
	1976	30,000,000	12,500,000
	1977	30,000,000	15,000,000 1/
	1978	30,000,000	19,000,000 1/
	1979	1,000,000	1,000,000 2/

This program was transferred to NTIA, Department of Commerce, February 25, 1979.

1/ Includes $1 million for the Telecommunications Demonstration Program, administered under the Assistant Secretary for Planning and Evaluation/HEW (Sec. 395).

2/ P.L. 95-567 transferred the Educational Broadcasting Facilities Program to NTIA, Department of Commerce, with an authorization of $40 million for the next 3 years for the planning and construction of public telecommunications facilities. Authorization for the Demonstration Program remains with HEW at $1 million.

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Educational Television and Radio Programming Support

Legislation:	Expiration Date:
Elementary and Secondary Education Act Title III Section 303 (as amended by P.L. 95-561)	FY 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION 1/
	1972	Indefinite	$ 7,000,000
	1973	Indefinite	6,000,000
	1974	Indefinite	3,000,000
			1,000,000 2/
	1975	Indefinite	7,000,000
	1976	Indefinite	7,000,000
	Transitional Quarter		1,600,000
	1977	Indefinite	7,000,000
	1978	Indefinite	5,000,000
	1979	Indefinite	6,000,000
	1980	Indefinite	6,000,000

Program Goals and Objectives:

The OE goal for this program is to carry out the development, production, evaluation, dissemination, and utilization of innovative educational television and radio programs designed (for broadcast and/or nonbroadcast uses) to help children, youth, and adults to learn. The legislative flexibility of this Act permits the Office of Education to initiate a direct Federal funding approach in educational television and radio programming broad enough to include a range of activities, from creative planning and development to production, distribution and utilization of programs which have clear potential for helping people to learn.

Program Operation:

OE administration of educational television and radio programming activity provided contract or grant support (contracts only from FY 1976 on) for television programming, including the planning, production, evaluation, dissemination, and utilization of programs such as Sesame Street and FOOTSTEPS. Utilization includes activities and print materials designed to enhance and

---

1/ Funding from 1972 through 1975 under the Cooperative Research Act, Title IV (P.L. 83-531)

2/ Impounded funds released in FY 1974.

reinforce the effectiveness of programs as used in formal and informal educational settings, including the development and implementation of a series of strategies in specific community settings which marshall the concern of parents, teachers, and others for using television and radio as a positive educational force.

Program Scope:

In FY 1978, $3,250,000 was awarded to the Children's Television Workshop for partial support of the production of the 10th and 11th sessions of Sesame Street. A negotiated agreement was developed between the contractor and the Office of Education to phase-out Federal support of "Sesame Street" since the program is moving towards self-support. It is the intent of the Federal government to fund the 12th season at $2,000,000 and the 13th season at $1,000,000. This latter funding will include all cost incurred in cessation of direct Federal funding of the series. The agreement also details the relationship between the contractor and the government with respect to Program Related Income which will continue for four years after the final contract.

The audience for "Sesame Street" is approximately 12,000,000 daily viewers. "The Electric Company" which is in reruns has a daily audience of about 6,000,000. The contract with CTW includes community extension services for both "Sesame Street" and "The Electric Company" and provides training for personnel working both in schools and in day care centers.

In FY 1979 $1,200,000 was transfered to the National Science Foundation for the support of the new elementary school science and environment series. This program, "3-2-1 Contract," is anticipated to begin broadcasting in January 1980. The program is designed to attract youth into science fields with special emphasis upon attracting minorities and women.

The critical television viewing skills projects are in Phase II which provides workshops for the training of teachers and parents in the use of television in the educational process. It provides guidelines for effective and critical development of this learning resource. $600,000 was awarded in this area this year.

The goals of these projects are to provide the basis for understanding television, what makes it work, and how each individual can use it more effectively. The curriculum materials being developed move from simple stories and games concerning television at the elementary level to more complex issues at the higher levels. At the high school and even middle school level, issues of scale in film and television production will be explored and simple experiments using 8 MM camera will be used to demonstrate special effects, i.e. Superman scaling mountains, animation, and other techniques. The post secondary level will deal with issues such as parents' role in guiding their children's use of television, as a political force, television's role in news, and the economics of television. Materials are being developed by each contractor for use by students, teachers, and families.

In FY 1979 a new series on health and nutrition was awarded to develop programs designed to emphasize the relation between nutrition and good health habits. This is directed towards eight to twelve year olds since there is evidence that health habits are likely to be formed during these years. $850,000 was awarded for the first phase of this production effort. It is anticipated that this series will be ready for broadcast in 1981.

In FY 1979 $50,000 was used to maintain the post production activities of "Footsteps", scheduled to run for the second time in the fall of 1979. The second series will include the ten shows developed in FY 78 and will have a total of 30 half hour programs. A number of community colleges and universities have accepted this program and its support materials as the basis for child growth and development sources.

"Music..Is" will also be rerun on PBS in the fall of 1979. All materials in audio/visual format are still in high demand by public schools. The "Dial A-l-c-o-h-o-l" series is being used by local stations for broadcast with discussions of the issues developed in the series. Data are difficult to obtain on the exact number of the audience for these secondary showings since we have unlimited rights for recording all of our materials, with the exception of "Sesame Street" and "The Electric Company." (new arrangements with "Sesame Street" allow for one year use of off-the-air recordings). Based upon utilization findings of loan and rental services it is estimated that "Music...Is" has at least 1,000,000 in school viewings, i.e., one child seeing one show in an audio/visual format. The figure may be double this since it is known that a number of schools have recorded the series and/or have bought the film version.

Program Effectiveness and Progress:

Over 94 percent of the public television stations with instructional programming broadcast "Music...Is" and "Footsteps" two to six times per week last broadcast season. Sesame Street and The Electric Company are seen in 43 countries around the world and The Electric Company is used for teaching English in foreign countries and in the United States as part of basic skills education programs.

In 1977, a national survey was conducted to assess the public's concerns about parent education and to assess the general issues and concerns for future educational television programming decisions. These data were used as guidance in the production of "Footsteps." Data were collected in three ways: (1) five focus group interviews in five different cities; (2) interviews with 48 professionals whose viewpoint included observation of public trends in social sciences; and (3) a representative sampling of 1300 American households. Five topics emerged as common concerns of all groups. They were: (1) parent education, child development, and family life; (2) economic/vocational skills and attitudes; (3) health and nutrition; (4) interpersonal relationships; and (5) values and morality. In general, the groups had some reservations about the ability of current television programming to handle these topics, but expressed optimism about television's potential to address serious social concerns. Most respondents associated good programming with public broadcasting. The study also found that good programming must include massive promotional campaigns and positive images of different kinds of people in different kinds of situations.

The "Footsteps" Series has been:

- Adopted as a project for International Year Of The Child
- Recommended by the National Education Association
- Graded "A" by the National Congress of Parents and Teachers on their films report card (on a scale of A to F)
- Adopted by the General Federation of Women's Clubs as a part of their parent education project
- Adopted as an exemplary exhibit for the International Education Exposition in Geneva, Switzerland
- Adopted as a National 4-H Project for teenagers

Utilization and distribution of the "Footsteps" program have taken many forms. Having secured off-the-air recording rights, the Division of Educational Technology encourages long term use of the shows. The following are examples of such use:

- The higher education system in Indiana, broadcasts a call-in telephone panel show after each program showing, on public television. Continuing education and college credits are possible.

- Churches, PTA's, and day care centers in Kentucky are setting up viewing/discussion groups.
- The Appalachian Educational Satellite System will use the shows in 13 states and will encourage home viewing with the home viewer guide, health services utilization by medical personnel, and college credit.
- The Ontario Education Communications Authority is airing the series and will duplicate and distribute copies in Canada to public stations and educational requestors at cost.
- The National Audio Visual Center of GSA has videocassettes for sale and 16 mm films for sale and rental.

Ongoing and Planned Evaluation Studies:

A proposed exploratory study is planned for FY '80 to survey the use of the current television programming and supplemental materials in relation to the needs perceived by the users. In addition, programs and materials will be evaluated to determine if they are still valid and should remain in circulation.

Source of Evaluation Data:

1. Public Broadcasting Service carriage data, (to determine percentage of use on public television stations).

2. The Federal Role in Funding Children's Television Programming, by Keith Mielke, Barry Cole, Rolland C. Johnson, Indiana University 1975.

3. Sesame Street Revisited, by Thomas D. Cook, Hilary Appleton, Roos F. Conner, Ann Shaffer, Gary Tamkin, and Stephen J. Weber, Russell Sage Foundations, N.Y. 1975.

4. An Assessment of Parent Education and General Needs for Educational Television, Applied Management Sciences, Silver Spring, Md., 1977.

For further information about program operations,

Contact: Dr. Malcolm D. Davis
(202) 245-0955

For further information about studies of program effectiveness,

Contact: Arthur S. Kirschenbaum
(202) 245-8380

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Right-to-Read and the National Reading Improvement Program (effective FY 1980 superceded by the Basic Skills Improvement Program)

Legislation:	Expiration Date:
National Reading Improvement Program, Title VII, P.L. 93-380, as amended by P.L. 94-194	FY 1979

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
Right-to-Read	1971	$ Indefinite	$ 2,000,000
"	1972	Indefinite	12,000,000
"	1973	Indefinite	12,000,000
"	1974	Indefinite	12,000,000
"	1975	Indefinite	12,000,000
"	1976	118,000,000	23,800,000
"	1977	139,200,000	26,000,000
"	1978	144,200,000	27,750,000
"	1979	144,200,000	35,000,000
Basic Skills Imp. 1/	1980	2/	

Program Goals and Objectives:

Right-to-Read is a national effort for developing and improving the reading skills of all citizens, enabling each to function effectively in our society.

It is both a legislated program and a coordinated national endeavor for promoting the involvement of all segments of society, both public and private, to ensure that in the next decade no American shall be denied a full and productive life because of an inability to read effectively.

In pursuing its goal, Right-to-Read:

- encourages the established educational agencies and teacher preparation institutions within a State to exert a coordinated and cooperative effort to solve the literacy problem throught the efficient usage of the economic and human resources available within the State

---

1/ New program authorized by the Education Amendments of 1978 (P.L. 95-561); funding will begin in FY 1980.

2/ Part A: $20,000,000, Part B: Indefinite; Part C, Section 231: $10,000,000 Part C, Section 232: Indefinite.

- recommends a systematic process for assessing literacy needs and for developing and implementing programs to meet those needs

- provides financial assistance to local educational and nonprofit organizations for instructional programs and to State agencies for leadership, and training activities

- identifies and disseminates pertinent and useful information relative to effective reading techniques, materials, instructional approaches, and organizational designs

- provides technical assistance in planning and implementing instructional and staff development programs

- enlists the involvement and support of the private sector and of government agencies for activities which impact on literacy needs

The Education Amendments of 1978 (P.L. 95-561) expanded the focus of the Right-to-Read Program to include activities as they relate to reading, written and oral communications skills, and mathematics. This program will be funded for the first time in FY 1980. The new program seeks to promote mastery of all basic skills by providing facilitating services and resources to encourage government agencies, educational institutions, and private organizations to improve and expand their activities in this area. The program also involves increased emphasis on the State's role in coordinating basic activities, reinforced by agreement made between the States and the Secretary of the Department of Health, Education and Welfare.

Program Operation:

The Right-to-Read Effort, which has operated through FY 1979, involves the administering of activities authorized under Title VII, Public Law 93-380, as amended by Public Law 94-194. It includes the following components:

State Leadership and Training Programs

These programs provide training for local Right-To-Read administrators and allow State agencies to exert leadership in achieving a solution to the literacy problem of the State. Agreements are entered into with State education agencies for the purpose of carrying out coordinated leadership and training activities designed to prepare personnel throughout the State to conduct projects which have been demonstrated in that State or in other States to be effective in overcoming reading deficiencies. These activites are limited to (1) assessments of need, including personnel needs, relating to reading problems in the State, (2) inservice training for local reading program administrators and instructional personnel, and (3) provision of technical assistance and dissemination of information to local educational agencies and other appropriate non-profit agencies.

Reading Improvement Projects

The purpose of these projects has been to develop and implement innovative reading programs for preschool and elementary school children. The preschool component is new to the Right-To-Read thrust. Both preschool and elementary programs are based on the diagnostic/prescriptive approach to reading instruction and place emphasis on early prevention of reading difficulties and the achievement of developmental objectives. A major emphasis is placed on staff development and on meeting the individual needs of all children. State and local educational agencies, nonprofit private schools, public and private nonprofit agencies, and other cultural and educational resources of the community may initiate or expand these reading programs in schools having large numbers or a high percentage of children with reading deficiencies.

Special Emphasis Projects

This component of Title VII is designed to measure the effectiveness of reading specialists and reading teachers providing intensive reading instruction for elementary school children in a classroom setting. In local school districts sponsoring these projects, the intensive reading instruction is provided in an experimental school, while regular reading instructional practices are maintained in a matched control school. The two schools must serve populations with similar characteristics, and the reading approaches and curricula must be similar. A study is currertly being concluded by the Office of Evaluation and Dissemination to evaluate this component. Annual Reports of the Special Emphasis projects were completed in April 1978 and December 1978; the final report is planned for publication in March 1980.

Reading Academies

This program provides reading instruction for in-school as well as out-of-school youths and adults not normally served by traditional local reading programs. It involves the utilization of institutions and community-based groups not ordinarily used as sponsoring agencies to provide reading instruction. The central academy recruits students, trains tutors, and provides the needed logistical support for instruction which is frequently provided on an individualized basis. Satellite academy centers established by the central academy rely heavily on the services of trained volunteers to tutor adults. Intensive recruitment efforts are made to stimulate individuals to join the reading academies for a year as tutors.

Inexpensive Book Distribution Program

Under Public Law 94-194, Section 726 (The Inexpensive Book Distribution Program), the U.S. Commissioner of Education is required to issue a contract to a private nonprofit group or public agency to provide an inexpensive book distribution program. This contract was awarded to Reading is Fundamental, Inc., in September 1978.

The purpose of this contract is to provide reading motivation programs which include the distribution of books by gift or loan to children in preelementary, elementary, or secondary schools. The contractor establishes subcontracts with private nonprofit groups or public agencies that agree to establish, operate, and provide the non-Federal share of the cost of reading motivation programs. The contractor also provides technical assistance to the subcontractors engaged in the process of establishing, operating, and providing the non-Federal share of the cost of reading motivational programs. An evaluation of this program is in progress; the final report is planned for September 1980.

Program Scope:

The FY 79 appropriation of $27 million is the same as the FY 78 level.

Activity	Grants/Contracts 1/	Amount 1/
State Leadership Program	54	$6,200,000
Reading Improvement Projects	103	8,500,000
Reading Academies	66	5,230,000
National Impact Projects	10	800,000
Inexpensive Book Distribution	1	6,000,000
Evaluation	1	270,000
TOTAL	235	$27,000,000

1/ Estimated: Final numbers and amounts available September 30, 1979.

Program Effectiveness and Progress:

1. Evaluation of School-Based Right-To-Read Sites (October 1973).

The main purpose of this study was to establish whether school-based Right-To-Read projects have met their criterion of one month gain in reading achievement for each month of reading instruction. To test this, data were gathered from a sample of school-based projects located in a senior high school, junior high schools, and several elementary schools.

Twenty-eight of the 44 school-based projects met or exceeded the Right-To-Read criterion of satisfactory reading progress of one month gain in reading achievement for each month of reading instruction. Sixteen projects failed to achieve this objective, but some of this apparent failure may be attributable to inadequacies in local evaluation procedures, such as failure to obtain pre- and post-test data on the same students and the use of different reading tests when pre- and post-measures were taken.

The analysis of overall grade level gains indicates that upper grades (7-9) did not show reading gains to the same extent as did elementary grades. It may be that factors accounting for reading gains at elementary grade levels are not as effective at upper levels.

The findings showed a lack of programs being implemented at the first grade level. Since much reading activity takes place in the first grade, projects funded under Part A, Title VII, should place emphasis on the establishment of reading programs in the first grade.

Emphasis should be placed on classrooms that involve single grade levels only. The data suggest that where more than one grade level was included under a single teacher in a single classroom, learning did not take place to the same degree as in single grade level classes.

2. An Evaluation of the Community-Based Right-To-Read Program (September 1974).

The purpose of this study was to evaluate a sample of 24 Community-Based Right-To-Read Projects drawn from a group of 73 funded projects and including those that served "in school" youth (school projects) and "out of school" adults (adult projects). Evaluation objectives were: (1) to measure the improvement in reading achievement, and (2) to analyze the relationships between achievement and program, staff, and student characteristics. Data used to evaluate these objectives were collected on-site through pre- and post-tests and various survey, interview, and observation instruments.

The findings from analyses of student projects indicated that, overall, students gained significantly in reading skills during the 5-month pre/post test period. The greatest gain was achieved by students in classroom projects operating within the regular school context, as opposed to those operating outside of school or outside of school hours. While significant differences were found among the individual projects, no consistent differences were found to relate to specific programmatic features. The findings from analyses of adult projects indicated many of the same relationships.

In attempting to determine specific project characteristics that are associated with reading gains, very few definitive conclusions were reached. No significant differences were found among adult projects by type of service delivery system. English as a Second Language classes, paid tutoring projects, and volunteer tutoring projects are all able to provide effective instruction. In regard to the retention and attendance of participants in adult projects it was found that: (1) nonattendance was the primary reason for termination; and (2) regular attendance was positively related to gains in reading achievement.

These outcomes suggest that in the Reading Academies funded under Title VII: (1) considerable flexibility in determining the appropriate instructional strategy or system can be encouraged and (2) attendance schedules could be developed that will optimize the hours of instruction in terms of participants' available time.

Finally, in regard to project costs, the study revealed that adult projects had widely varying costs per student and costs per instructional hour ratios with no apparent direct relationship between cost and reading gain. It seems reasonable to suggest that guidelines or ranges of cost per student and cost per instructional hour ratios be established for planning purposes so that Academies will have standards for efficient budgeting.

3. Assessment of the State Agency Component of the Right-to-Read Program (June 1976).

In this study, Applied Management Sciences investigated the various activities and processes of State Agency Right-To-Read Programs, in order to determine what effect programs have had at the State educational agency and local educational agency level in the 31 States which entered the Right-To-Read Program during either 1972-73 (Phase I) or 1973-74 (Phase II of this effort). Data were collected in visits to the 31 State departments of education, three local educational agencies randomly selected from those LEA's in the State that had participated in the Right-To-Read Program for at least one year, and a mail survey of a 50 percent sample of LEA Right-To-Read Directors within each State whose programs had been affiliated with Right-To-Read for at least one year. In addition, case studies were developed which describe how these programs operate in these 31 States.

The results of this study can be summarized in one statement: the approach taken by Federal administrators responsible for the State component of the Right-To-Read Program appears to have been successful in that the programs have achieved meaningful effects utilizing a relatively modest amount of money. Because of the similarity of data obtained across the 31 States, it may be concluded that, for the most part, the States have adopted the 16 national objectives as a viable strategy and have implemented them and their underlying activities in the same manner across the 31 States. Thus, the training and support activities provided by National Right-To-Read, and the comparatively little money provided to the States, have provided substantial impetus in developing viable State strategies in reading.

A number of outcomes from this study, identified below, support this conclusion. It should be noted that none of these outcomes relates directly to reading achievement on the part of students. This study was designed solely to assess the type and level of activities which have been fostered by the State component of Right-To-Read funding.

- State Right-To-Read Programs have made considerable efforts to involve large numbers of local districts in Right-To-Read.

- Training of teachers and LEA coordinators has been a major focus in the State Right-To-Read Programs.

- Data indicated that Right-To-Read will continue in many States even in the absence of Federal funds.

- Reading has been established as a top priority in State education agencies and in local education agencies.

The results of this study also indicated that there are several areas of the Right-To-Read Program in which improvement is needed. The findings which suggest areas of need for improvement are summarized below:

- Local district Right-To-Read programs showed local district directors desired changes in technical assistance delivery. While the directors' initial orientation to Right-to-Read was effective, current technical assistance does not meet their present needs.

- Coordination of Right-To-Read with Adult Basic Education was found lacking in local districts, but adequate at the State level.

- To maximize effectiveness of the Right-To-Read Program, more effective communication links need to be established between the SEA component of Right-To-Read and LEA classroom teachers. Responses to questions addressed to LEA teachers and administrators as well as to SEA personnel led to this conclusion.

- The State Right-To-Read Task Force, set up by Right-To-Read Program regulations, appeared to be functioning at a minimum level in many States. Supposedly designed to serve as a coordinating unit for reading activities stemming from other SEA programs, data indicated that the State Right-To-Read Director and the State Assistant Superintendent for Instruction were performing coordinating activities, rather than the Task Force.

- Though it is a stated responsibility for State Right-To-Read Advisory Councils, these bodies were not effective in dissemination activities or in winning public support.

- Distribution of Right-To-Read services to local districts was not in agreement with national guidelines. The national guidelines specify selection of local districts for participation in Right-To-Read on the basis of geographic representation, student population, and needs assessment. However, the major criterion used to select almost two-thirds of the local districts for participation was their willingness to comply with the terms of the agreement/contract and enter the Right-To-Read Program.

- Program evaluation by SEA's was not linked to the timely accomplishment of objectives. SEA's did not emphasize assessing accomplishment of local district objectives according to a planned schedule. This must be considered a severe program weakness.

4. Evaluation of the Right-to-Read Special Emphasis Projects (First and Second Years Evaluations) (April 1978 and December 1978).

The purpose of this study is to evaluate the effectivness of seven Special Emphasis Projects as defined in Public Law 93-380, Section 721, and amended by Public Law 94-194, Section 10. Special Emphasis Projects were authorized under this legislation to determine, over a three-year period, if the use of reading specialists, reading teachers, and intensive summer reading programs would impact on children's ability to learn to read.

The legislation called for a demonstration project including:

1. The teaching of reading by reading specialists for all children in grades one and two.

2. The teaching of reading by reading specialists for children in grades three through six who are experiencing reading problems.

3. The determination of the effectiveness of intensive instruction by reading specialists.

4. The provision of a vacation reading program.

5. Authorization for the Commissioner to contract with local education agencies.

Accordingly, local districts which wished to participate were required to assure that:

- All first and second graders in the experimental school would receive intensive reading instruction;

- All students in grades three through six in the experimental school who had reading problems would be given intensive instruction in reading;

- An intensive summer program would be available for the project school students who were performing below grade level, and this service would not be available to the control school children;

- They would cooperate with an external evaluation to be conducted by the Commissioner or his/her contractor; and

- The instructional plan would be formulated through consultations with many parties, including the district administration, parents, and faculty of the project school, and that this plan would include a diagnostic/prescriptive approach and be part of a comprehensive reading program in the project school.

Overall, the regulations were comprehensive and responsive to the legislation and the original intent of its sponsors. However, the combined effect of the legislation and the regulations had precluded conducting a rigorously controlled experiment. Some of the factors involved have been:

- The diversity of instructional approaches and the use of mediated reading systems at some sites (e.g. DISTAR, Precision Teaching System).
- Use of prior-assigned reading specialists at some control school sites.
- Supplemental funding and resources available to control sites from non-NRIP sources, such as Title I.
- Use of teacher aides at both experimental and control sites.
- The use of assistance contracts (rather than procurement contracts) minimized the level of programmatic control that USOE could exercise.

The first year's interim report emphasized the inconclusive nature of the longitudinal study thus far, primarily because of severe delays in funding and startup, which had resulted in an effective net implementation of only one semester, instead of a full year. Combined with the acknowledged large range of the standard error in the key test instrument (Stanford Diagnostic Reading Test), any conclusive assessment would be unwarranted until later test results are processed and analyzed. With these significant caveats in mind, it has been observed that those sites with some apparent reading achievement gains among the experimental population (compared to the control school's gains) were those sites that responded rapidly in the first year in establishing a cooperative rapport among the teaching staff to implement the Special Emphasis program. The day-to-day involvement of the site project director was seen as a major element in the successful functioning of the first year's activity at some sites.

Improvement was noted in several areas of the continuing study:

- More aggressive monitoring of all sites to ensure compliance to the legislation and regulations.
- On-site project management must be more responsive to existing and potential conflict situations among the staff.
- The site project director must be at the experimental schools a minimum of half-time.
- Enrollment at the summer school programs must be increased.
- Summer school minimal standards are needed.

The second annual report recorded the events transpiring between April 1978 (the contractual transfer of the study to a new contractor) and December 1978. This was a period of intensified project control and monitoring by the new study team, more intensive classroom and teacher observation and the collection of new student data which transferred the study's data base into a student-oriented mode (from the earlier classroom-aggregated mode). The final report, planned for March 1980, will provide a full and final assessment of the three year longitudinal study, with a dual focus on process characteristics and impact factors and measures.

Ongoing and Planned Evaluation Studies:

A contract was let in July 1976 for the purpose of determining the information requirements of the National Reading Improvement Program. The goals of this study are: (1) to establish the specific National Reading Improvement Program management information requirements for a management information system; and (2) to design and implement a manual/automated system that will satisfy the requirements. The attainment of these goals will enable the program to meet the mandated annual evaluation requirements as stated in Part D of Title VII. The "Study Design Specifications" report of this study was completed July 1977. Implementation of the system has been delayed pending final clearance of use requirements by the Educational Data Acquisition Council (EDAC) under provisions of GEPA, Sec. 406gAi.

As part of this same contract, the contractor had been performing two additional tasks. One was evaluation of the seven Special Emphasis Projects funded in FY 76. To determine the effectiveness of intensive reading instruction provided by reading specialists in the classroom setting, standardized reading test scores and parent, student, and school personnel attitudinal and program process data had been collected. The first year evaluation was reported in April 1978; a second year's evaluation report was issued in December 1978; and a final evaluation report is planned for March 1980. The second and third year's reports are the products of a successor study group. The other task was to provide OE with a design and instruments for an evaluation of the Inexpensive Book Distribution Program. That evaluation effort began in September 1978; its final report is planned for September 1980.

Sources of Evaluation Data:

1. The Information Base for Reading, 1971.
2. Evaluation of School-Based Right-To-Read Sites, Contemporary Research, Inc., Los Angeles, CA, October 1973.
3. Evaluation of Sampled Community-Based Right-To-Read Projects; Pacific Training and Technical Assistance Corporation, Berkeley, CA, September 1974.
4. Briefing Package for the ASE Management Conference, October 23, 1974.
5. Assessment of the State Agency Component of Right-to-Read, Applied Management Sciences, Silver Spring, MD, June 1976.
6. Study of the Information Requirements of the National Reading Improvement Program, Applied Management Sciences, Silver Spring, MD, July 1976.
7. First Year Evaluation of the Right-to-Read Special Emphasis Projects, Applied Management Sciences, Silver Spring, MD, April 1978.
8. Second Annual Report, Evaluation of the Right-to-Read Special Emphasis Projects, General Research Corporation, McLean, Va., December 1978.

For further information about program operations,

Contact: Mrs. Shirley Jackson
(202) 245-8537

For further information about studies of program effectiveness,

Contact: Edward Rattner
(202) 245-8380

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Alcohol and Drug Abuse Education

Legislation:	Expiration Date:
The Alcohol and Drug Abuse Education Act of 1974 and Amendments of 1978. P.L. 95-336	September 30, 1981

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1971	$ 10,000,000	$ 5,610,000
	1972	20,000,000	12,400,000
	1973	28,000,000	12,400,000
	1974	28,000,000	6,700,000
	1975	26,000,000	4,000,000
	1976	30,000,000	2,000,000
	1977	34,000,000	2,000,000
	1978	34,000,000	2,000,000
	1979	10,000,000	2,000,000 1/
	1980	14,000,000	3,000,000

Program Goals and Objectives:

The principal purpose of the program as defined by the authorizing Act is to help schools and communities assess and respond to alcohol and drug abuse by becoming aware of the complex nature of the problems, and to prepare them for developing stratetgies aimed at its causes rather than merely its symptoms. The program strongly encourages a coordinated school-community effort in preventive education with an emphasis on reducing the socially disruptive behaviors often associated with abuse.

In addition to the goals and objectives specified in the legislation, the following statement of goals further specifies the program's purpose: Goal 1 -- to identify, demonstrate, evaluate, and disseminate effective strategies (including curricula) for alcohol and drug abuse prevention, and Goal 2 -- to train teams of teachers, counselors, parents, students, law enforcement officials and other public service and community leaders to prevent destructive behavior associated with alcohol and drug abuse by promoting growth and development. The program is, therefore, primarily a training and demonstration program, through which local agencies provide direct services to youth.

1/ Same funding level as 1978, according to Continuing Resolution, P.L. 95-482.

Program Operations:

This program is authorized to make grants and contracts for a wide variety of activities which can be generally categorized as preventive education. Currently, the bulk ($1,840,000) of program funds supports five regional training resource centers. The remaining funds support a National Data Base and Program Support project and an evaluation of the program.

Through the regional training centers, the program is implementing a new strategy which it describes as "teams teaching teams." It is hoped that the new strategy will achieve a multiplier effect through a two-step process: (1) Teams are trained in "clusters" rather than in geographically unrelated groups. (A geographically related cluster is comprised of a team from a high school joined with teams representing the elementary, middle, and/or junior high schools feeding into that high school.) (2) Then, the most impressive trainees in these clusters become, through further training and one year of on-site technical assistance, new trainers for other schools and groups of schools in their district or community, while continuing to receive some technical assistance from the Federal program.

Program Scope:

In recent years the program has restricted its support primarily to training, technical assistance, and dissemination through the five regional centers. In FY 80 the program is planning an additional contract to provide technical assistance to SEAs and to coordinate the activities of a number of State agencies concerned with primary prevention.

Program Effectiveness and Progress:

Two studies funded by the program found that (a) trainees felt their training was effective, (b) that one-half to two-thirds of the teams were still functioning a year or two after training, (c) that the majority (about 80 percent) of the teams were performing activities which they had been trained to perform, and (d) in the judgment of the evaluators, these activities were effective There has been no definitive evaluation of impact on student behavior at this time.

Ongoing and Planned Evaluation Studies:

A systematic evaluation of this program has been initiated in FY 79 with results anticipated in the Fall of 1980.

Sources of Evaluation Data:

Primary Sources

"Universe Survey of FY 1974 HCHT Teams," E.H. White and Co., San Francisco, September 1975.

"An Evaluation of the School Team Approach for Drug Abuse Prevention and Early Intervention," American Institutes for Research, Washington, D.C., 1976.

House of Representatives Report No. 95-884, February 16, 1978.

Uncited Sources

The Operationally-Based Information Support System.

General Research Corp., Minigrant Study; 1974.

BRX/Shelly, "What Works and Why" project (Fifty Successful Practices); 1974.

Abt Associates, Inc., "Evaluation of the National Preservice Drug Education Program," 1975.

For further information about program operations,

Contact: Helen Nowlis
(202) 245-7292

For further information about program evaluation,

Contact: Paul R. Messier
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Environmental Education

Legislation: Expiration Date:

Environmental Education Act of
1970 (P.L. 91-516); Extended by
P.L. 93-278

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1971	$ 5,000,000	$ 2,000,000
	1972	15,000,000	3,514,000 1/
	1973	25,000,000	3,180,000
	1974	25,000,000	2,000,000
	1975	5,000,000	1,900,000
	1976	10,000,000	3,000,000
	1977	15,000,000	3,500,000
	1978	15,000,000	3,500,000
	1979	5,000,000	3,500,000
	1980	7,000,000	-0-

Program Goals and Objectives:

The purpose of environmental education as expressed in the Environmental Education Act is to help individuals understand problems, issues, options, and policies affecting the quality of the total environment, including social, economic and cultural aspects. The Act supports the development of educational resources required to achieve these objectives among all age groups and sectors of the country.

The Act provides (1) broad authority for flexible, responsive support of environmental education development needs (rather than support of predesignated activities in schools and communities) (2) support for community group-sponsored informal education projects, and (3) environmental education training for persons in education and other fields, including those in business, industry and government whose activities may effect environment policies and activities and hence quality.

1/ Approximately $2 million withheld to cover backdated FY '72 grants.

Program Operations:

The overall strategy of the Office of Environmental Education is to facilitate through technical assistance and funds the development of environmental education, e.g., environmental studies programs and educational resources devoted to educating our citizens about both the immediate and long-term interactions and impacts of activities and decisions on environmental quality. This strategy involves (1) the exploration, through the grants program, of local perceptions and needs in environmental education, (2) the development, through contracts, of basic source materials to facilitate the design of effective content and process resources, (3) the support, through grants and contracts, of projects which promise to enhance the state of the art and to have utility throughout the country or in major sections of the country, and (4) the support of activities for the effective delivery of resources to the user.

Program Scope

In FY 79, program funds amounting to about $3.1 million were used to support a total of 69 environmental education projects. These included resource material development, personnel training, and community education in urban, suburban and rural areas in 28 States, Puerto Rico and the District of Columbia. By kinds of projects the breakdown of grants awarded is as follows:

a.	Resource Material Development	-- 17
b.	Personnel Development	-- 10
c.	Community Education	-- 20
d.	Elementary and Secondary Education	-- 12
e.	Minigrant Workshops	-- 8

Technical or non-monetary assistance activities have included (1) assisting grantees in developing resources and expertise, and (2) assisting other Federal agencies, schools and communities interested in educational programs relating to environmental quality.

Program Effectiveness and Progress

No evaluation of the impact of this program has been conducted.

Ongoing and Planned Evaluation Studies

None planned at this time.

Source of Evaluation Data

OEE Program Data

For further information about program operation,

Contact: Walter Bogan
(202) 245-9231

For further information about program effectiveness,

Contact: Paul Messier
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Revision of Impacted Areas Program as it Relates to Indian Children (Payments to LEA's for Indian Education)

Legislation	Expiration Date
Indian Education Act P.L. 92-318, Title IV Part A	Sept. 30, 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	FY 73	$196,177,204	$ 11,500,000
	FY 74	208,000,000	25,000,00
	FY 75	235,000,000	25,000,000
	FY 76	441,242,000	35,000,000
	FY 77	476,263,078	37,000,000
	FY 78	555,000,000	38,850,000
	FY 79	640,997,800	48,000,000
	FY 80	640,297,800	52,000,000

Program Goals and Objectives

Part A of the Indian Education Act provides financial assistance to local educational agencies (LEA's) and tribal schools for elementary and secondary education programs to meet the special educational and culturally related academic needs of Indian children. In addition, a separate authority in the Act allots an amount equal to not more than 10 percent of the amount appropriated for LEAs to Indian controlled schools located on or near reservations.

The purpose of the entitlement program is to provide grants on a formula basis to local school systems for (1) planning and other steps leading to the development of programs specifically designed to meet the special educational and culturally related academic needs of Indian children, including pilot projects designed to test the effectiveness of these programs; and (2) the establishment, maintenance, and operation of programs, including minor remodeling of classroom or other space used specifically for such programs, and acquisition of necessary equipment specially designed to meet the special educational or culturally related academic needs of Indian children.

The immediate program goal is to fund the development of special instructional educational programs and projects geared to the needs of Indian children. The long-range program goal is to supplement per pupil expenditures in the amount of $300 by FY 84, for approximately 344,000 Indian children enrolled in eligible LEA's. Funds from these grants are used to provide teachers and teacher aides in the areas of reading and mathematics; new supportive services, including home liaison and guidance and counseling services; and bilingual/bicultural activities among others.

Discretionary awards are made to Indian controlled schools to establish such schools or to provide supplementary programs and services.

Program Operations

Under Part A of the Act, entitlements or formula grants are made directly to eligible local education agencies (LEAs) and tribal schools. Financial assistance, through competitive discretionary awards, is also given to Indian controlled schools on or near reservations.

Program Scope

Data from the 1979 Indian enrollment/entitlement computation indicated 2969 local educational agencies and tribal schools would be eligible for funding under Part A entitlement grants. During Fiscal Year 79, eligible agencies applied for funds to plan, develop, and/or operate programs designed to meet the special educational needs of Indian children. (During 79, approximately 337,614 children were enrolled in LEAs receiving Part A grants). These grants average approximately $129 per child. Under the non-LEA discretionary program, 41 applications were received and 28 awards were made to Indian controlled schools.

Projects funded under this part of the Act range from part-time ancillary services to supplementation of basic education and cultural enrichment programs. Activities are determined by the LEA's and schools based on needs and population concentration. To assure that program funds are addressing the special educational needs of Indian children as specified in the legislation, a technical review of applications for entitlement and discretionary programs was conducted by the Office of Indian Education to ensure compliance with the provisions of the law. During the period of project performance, as program administration resources permit, site visits are made to selected project sites and technical assistance is offered to projects requesting it.

Ongoing and Planned Evaluation Studies

A national evaluation survey of projects funded under Part A was completed in November, 1978.

This study was performed by Communication Technology Corporation of Marlton, New Jersey under contract (300-76-0397) to the U.S. Office of Education's Office of Evalution and Dissemination. The principal findings of the study are as follows:

- The national program can be described as a collection of projects of widely divergent size, geographic locale, and goals. Sixty-two percent of the projects emphasize instruction in culture, heritage and native language. Emphasis upon remedial reading was found in 58 percent of the projects. The next three most frequently stated objectives were: (1) counseling and guidance (56%); (2) enhancing self-concept (54%); and (3) changing attitudes toward school (51%). Other predominant objectives were to increase school attendance (47%); to enhance self-direction and a sense of responsibility (46%); and remedial mathematics (46%). Most of the objectives seem to be evenly distributed across the urban - rural spectrum.

- Reading programs, mathematics programs, cultural heritage programs, and counseling and guidance programs were perhaps not surprisingly rated effective by project directors and project staff in approximately 90 percent of the sampled districts in: (1) overcoming Indian student's academic difficulties; (2) improving Indian student's attitudes toward school; and (3) developing more favorable self-concepts in Indian students.

- Factors, reported by school districts, as contributing to educational problems of Indian children in order of frequency reported were: (1) adverse home environment (74%); (2) lack of motivation (69%); (3) deficient early education (69%); (4) negative peer group influence (64%); (5) nutrituional problems (50%); (6) ethnic discrimination (48.8); and (7) health problems (45%).

- Seventy-five percent of project funds at the local level was directed toward staffing. This was an expected finding since this same percentage of projects are more than one year old and do not have the higher expenditures of a new project for materials, etc.

- Staff involvement, which was much more prevalent in urban high density districts (above 20,000) than in rural high and low density districts, was concentrated in reading, mathematics, native language and cultural heritage, counseling and guidance, attendance, self-concept, responsibility and self-direction, and attitude toward school.

- Generally, the parent committees were involved in a wide range of policy and managerial activities: staffing recommendations, public relations, proposal development, budget review, conduct of needs assessment, proposal review and final report review, curriculum decisions, pupil selection, establishment of project objectives, project monitoring, project evaluations, and final report development.

- The parent committees were generally not involved in assisting with instructional activities. More than 70 percent of the districts used the parent committee in proposal development. Also, roughly half of the districts reported parent committe involvement in selection of pupils.

- Projects in which parent organizations were involved were rated effective in helping Native-American pupils to overcome academic difficulties, improve their attitude toward schools, and develop a favorable self-concept. The majority of parent committee involvement was in the areas of providing staffing recommendations, proposal review and development, budget review, needs assessment, establishment of objectives, project monitoring and evaluation, and final report preparation.

- Projects in urban districts tended to be rated more effective in overcoming academic difficulties and providing supplementary services. This may be partially attributable to the organized approach taken toward the administration of funds and the sophistication of the staff. Staff time spent on projects is somewhat greater in urabn districts than in rural districts.

- Rural high density districts were rated the next most effective in overcoming academic difficulties and providing supplementary services. This may be due to the larger number of children available for project enrollment and the resulting higher funding level.

- The staff and parents rated 75 percent of the districts as being at least moderately effective in overcoming academic difficulties, providing supplementary services, improving attitudes toward school and developing a more favorable self-concept. Also, 50 percent of projects were rated effective by the staff and parents in improving staff attitudes toward Native-American pupils and improving non-Native American pupil attitudes toward Native-American pupils.

- The data analyzed revealed that, in the vast majority of the districts, there were staff involvement and program improvements in the areas of academic achievement, Native-American language and cultural heritage, counseling and guidance, attendance, self-concepts, responsibility and self-direction, and in attitudes toward school.

Sources of Evaluation Data

A National Evaluation Survey of Projects Funded Under Title IV, Part A of the Indian Education Act of 1972. (Contract #300-76-0397, November, 1978).

For further information about program operation,

Contact: Ms. Judy Baker
(202) 245-2975

For further information about studies of program effectiveness,

Contact: Dr. Emmett Fleming
(202) 245-8380

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Special Programs and Projects to Improve Educational Opportunities for Indian Students

Legislation	Expiration Date
Indian Education Act P.L. 92-318, Title IV Part B	Sept. 30, 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	FY 73	$ 25,000,000	$ 5,000,000
	FY 74	35,000,000	12,000,000
	FY 75	35,000,000 1/	12,000,000
	FY 76	35,000,000 1/	16,000,000
	FY 77	37,000,000 1/	14,080,000
	FY 78	37,000,000 1/	14,400,000
	FY 79	45,000,000 1/	15,500,000
	FY 80	45,000,000 1/	15,600,000

Program Goals and Objectives

The law indicates that its purpose is to authorize discretionary grants to Indian tribes and organizations, State and local educational agencies, and institutions of higher education for use in special programs and projects to improve educational opportunities for Indian children. These include (1) planning, pilot, and demonstration projects designed to test and demonstrate the effectiveness of programs for improving educational opportunities for Indian children, such as bilingual/bicultural educational programs and programs dealing with special health, social, and psychological problems of Indian children; (2) establishment and operation of programs designed to stimulate the provision of educational services not available to Indian children in sufficient quantity or quality; (3) preservice and inservice training programs to improve the qaulifications of persons serving Indian children, such as teachers, teacher aides, social workers, and

---

1/ In addition to the authorized amount, up to 200 fellowships can be awarded. See program scope section for actual awards and areas of fellowship awards.

other educational personnel; (4) establishing resource and evaluation centers designed to provide specialized technical services to grantees, evaluate the effectiveness of programs, and disseminate information on successful practices, and (5) national dissemination of information concerning education programs and services available to Indian children and evaluation of the effectiveness of federally assisted programs in which Indian children participate.

Long-range program goals of Part B are to improve educational opportunities for Indian students from preschool through the university level by supporting programs that:

(a) Provide improved educational services
(b) Increase the number of Indians in leadership positions
(c) Develop new educational approaches of high quality
(d) Contribute to increased control by Indians over the availability and quality of their own education.

Immediate goals of the Part B program are:

(a) Fund demonstration and service projects in areas identified as priority by the Indian community, such as early childhood education and special education.

(b) Support technical assistance efforts on a limited scale, to test feasibility of a large, national approach covering all States.

(c) Continue to provide educational personnel training and fellowships in designated professional fields to improve qualifications of Indians and develop leaders in the Indian community.

Program Operations

Grant awards for demonstration, service, and education personnel training; fellowship awards to graduate and undergraduate Indian students in selected professional degree areas; and contracts for the regional information centers are made on the basis of national competition. Eligible applicants for the demonstration program include State and local education agencies, federally supported schools for Indian children, and Indian tribes, organizations, and institutions. Eligible applicants for service projects include State and local educational agencies and tribal and Indian community organizations. Eligible applicants for educational personnel training projects authorized under Section 422(a) are Indian tribes and organizations and institutions of higher education.

In approving applications under Part B, preference is given to Indian tribes, organizations, and institutions, as required by law. Actual implementation of this provision has resulted in no awards being given to other types of organizations, with the exception of higher education institutions applying for Section 1005(d) funds.

Each type of program has an associated set of criteria for selection. Demonstration projects require that applicants include evidence that their projects are likely to serve as models for others and have more elaborate plans for evaluation. Annual priority areas may be selected by the Commissioner. Selection criteria for service projects give considerable weight to the lack of comparable services in the area and the degree of need. Education personnel training projects must show commitment to Indian education. Fellowship applicants are evaluated on the basis of financial need, academic record, other evidence of potential success, and likelihood of service to Indians on completion of the program.

Program Scope

In 1979, 333 Part B applications were received and 44 Part B grants were awarded. The approved projects dealt with the development of bilingual/bicultural programs, instructional materials and media centers, compensatory education, cultural enrichment, dropout prevention, and vocational training. In addition, fellowships were awarded in the areas of medicine, law, business, forestry, engineering, and related areas.

In general, most funded projects reflected the special educational needs of the local communities. A majority of the grantees under Part B designed their projects to attempt to meet the most compelling of these needs. Based on rather sparse data, the most effective projects are those which invest the largest dollar amounts on staff - professional, paraprofessional, and nonprofessional. The most effective staff members appear to be those who have special abilities to perform successfully in areas that address the special needs of Indian students, and who have the necessary qualities of awareness and sensitivity to Indian students.

Ongoing and Planned Evaluation Studies

An evaluation study of Part B began in September, 1979.

Sources of Evaluation Data

Program Review Materials

Program Audits

For further information about program operation,

Contact; Mr. Chuck Emery
(202) 245-2673

For further information about studies of program effectiveness,

Contact: Dr. Emmett Fleming
(202) 245-8380

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Special Programs Relating to Adult Education for Indians

Legislation	Expiration Date
Indian Education Act P.L. 92-318, Title IV Part C	Sept. 30, 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	FY 73	$ 5,000,000	$ 500,000
	FY 74	8,000,000	3,000,000
	FY 75	8,000,000	3,000,000
	FY 76	8,000,000	4,000,000
	FY 77	8,000,000	4,200,000
	FY 78	8,000,000	4,410,000
	FY 79	8,000,000	5,930,000
	FY 80	8,000,000	5,830,000

Program Goals and Objectives

The purpose of Part C is to improve educational opportunities below the college level for Indian adults. Authorized activities include: service projects that provide basic education, secondary education and preparation for the G.E.D., and career counseling; demonstration projects designed to test and demonstrate the effectiveness of programs for improving employment and educational opportunities for adult Indians; research and development projects to develop more innovative and effective techniques; surveys to determine the extent of illiteracy and lack of high school completion in the Indian community; and dissemination and evaluation projects.

The long-range goal of Part C is to reduce substantially illiteracy and improve educational and employment qualifications among Indian adults. Immediate objectives include: (a) Increase the number of Indian adults who are basically literate or who obtain a high school equivalency diploma (G.E.D.) through service projects based in the Indian community; (b) Develop new approaches which are relevant to the culture and heritage of Indian adults in demonstration projects; and (c) Determine the extent of illiteracy and undereducation in the Indian community and identify current resources at the Federal and State levels directed to those problems.

Program Operations

Part C awards are made annually on the basis of national competition. Projects may be supported up to three years in length, subject to availability of funds and satisfactory performance. Eligible applicants include Indian tribes, organizations, and institutions and State and local education agencies. Under Part C, preference in selection of applications must be given to Indian organizations and institutions. Implementation of this preference has resulted in no awards being given to other types of organizations.

Program Scope

In FY 1979, 113 applications were received under Part C and 58 awards were made. About 9,060 Indian adults will be served in the projects. Most projects address a full range of services, including basic education, preparation for the G.E.D., counseling, and support services to enable adults to attend the program, such as assistance with transportation and child care. Some projects offered components in the areas of consumer education or vocational education.

The second year of a three-year survey of adult Indian needs was funded in 1979. The project is designed to determine the extent of the problems of illiteracy and lack of high school completion for Indian adults, describe the status of available Federal and State supported adult education services to Indians, and recommend possible strategies.

Ongoing and Planned Evaluation Studies

An evaluation study of Part C began in September, 1979.

Sources of Evaluation Data

Program Review Materials

Program Audits

For further information about program operation,

Contact: Mr. Tom Emanuel
(202) 245-2683

For further information about studies of program effectiveness,

Contact: Dr. Emmett Fleming
(202) 245-8380

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Metric Education

Legislation

P.L. 95-561, Title III
Part B.

Expiration Date

September 30, 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	$ -0-	$ -0-
	1976	10,000,000	2,090,000
	1977	10,000,000	2,090,000
	1978	10,000,000	2,090,000
	1979	20,000,000	1,840,000
	1980	20,000,000	1,840,000

Program Goals and Objectives

The Act states that the program's purpose is to encourage and support programs to prepare students to use the metric system of measurement as part of the regular educational program. The outcomes of an effective metric education project include: improving the long term capabilities of individuals and institutions to use and teach the metric system of measurement; developing or adapting new techniques and approaches to meet the metric educational needs of the learner population(s); identifying and using local and other resources for metric education purposes; supporting new or existing metric educational activities of educational agencies and institutions; continuing successful project activities after Federal funding is ended; and evaluating the metric educational activities in meeting the project's objectives.

Program Operations

This program solicits proposals for grants and contracts for the following activities: (1) inservice and/or preservice training of teachers; (2) State- and multi-state metric educational planning; (3) mobile metric education units; (4) development and dissemination of materials; (5) mass media development; and (6) school-based inter-disciplinary projects with a concurrent training of parents and other adults from the general population.

Program Scope

Fiscal Year 1979 budget negotiations have been completed with awards being made to 46 successful applicants. These grants will generally commence on July 1, 1979 and continue for 12 months.

Program Effectiveness and Progress

No evaluation of this program has been conducted. An annual program evaluation is not legislatively mandated.

Ongoing and Planned Evaluation Studies

An exploratory evaluation is scheduled for FY 81.

Sources of Evaluation Data

Program Reports

For further information about program operation,

Contact: Floyd Davis
(202) 653-5920

For further information about program effectiveness,

Contact: Paul R. Messier
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Program for the Gifted and Talented

Legislation	Expiration Date
P.L. 95-561, Title IX, Part A	June 30, 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	Commissioner's S&E	$ 50,000
	1976	$12,250,000	2,560,000
	1977	12,250,000	2,560,000
	1978	12,250,000	2,560,000
	1979	25,000,000	3,780,000
	1980	30,000,000	6,280,000

Program Goals and Objectives

The Act indicates that the purpose of this program is to provide special educational services to gifted and talented children. The Act authorizes the following discretionary programs:

A. The development and dissemination to the public of information pertaining to the education of gifted and talented children and youth

B. Grants to State and local educational agencies for the planning, development, operation, and improvement of programs and projects designed to meet the special educational needs of the gifted and talented at the preschool, elementary and secondary school levels

C. Grants to State and local education agencies, Institutions of Higher Education and other private and public agencies for training personnel engaged, or preparing to engage, in educating the gifted and talented or as supervisors of such persons

D. Contracts or grants to public and private agencies for the establishment and operation of model projects for the identification and education of the gifted and talented.

Program Operations

In FY 1980, 75% of program funds will go to State-administered programs with 90% of the funds going to LEAs for local projects. At least 50% of the funds must go to projects with a component to serve disadvantaged gifted students.

Program Scope

The following activities were supported through FY 79 expenditures:

A. One contract was awarded for the development and dissemination of information pertaining to the education of gifted and talented youth.

B. Thirty-seven awards were made to States; thirty-eight grants to local educational agencies were awarded for the planning, development, operation and implementation of programs and projects designed to meet the special needs of gifted and talented children.

C. Approximately 49 percent of the awards to State departments of education include project components for the preservice and inservice training of educators of the gifted and talented or supervisors of such persons.

D. Six new awards were made to institutions of higher education for training leadership personnel (including internships) in the education of the gifted and talented.

E. Four new contracts were awarded to public and private agencies for the operation of model projects for the identification and education of gifted and talented youth.

Program Effectiveness and Progress

No systematic program effectiveness data currently exist.

Ongoing and Planned Evaluation Studies

No agency evaluation is currently planned for this program.

Sources of Evaluation Data

Individual project evaluation is required by the program regulations. These evaluations together with periodic program reports will serve as a data source for determining program effectiveness and progress.

For further information about program operation,

Contact: Harold Lyon
(202) 245-2481

For further information about program evaluation,

Contact: Paul R. Messier
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name:

Community Education

Legislation:	Expiration Date:
Elementary and Secondary Education Act, Title VIII	FY 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	$ 17,000,000	-0-
	1976	$ 17,000,000	$ 3,553,000
	1977	17,000,000	3,553,000
	1978	17,000,000	3,553,000
	1979	17,000,000	3,190,500
	1980	100,000,000	3,138,000

Program Goals and Objectives:

The goals of the community education program as defined by the Community Schools Act and reiterated in the regulations are to meet the unique needs of any community by:

1. promoting greater utilization by the whole community of public education facilities

2. providing educational, recreational, cultural, and other related community services in accordance with the needs, interests, and concerns of the community

3. promoting interagency cooperation thereby reducing costly duplication of effort in serving the community.

Program Operations:

Discretionary competitive grants are made to State and local education agencies to pay the Federal share of the cost of planning, establishing, expanding, and/or operating community education programs. In addition, funds are made available to institutions of higher education to develop and establish or to expand programs which will train persons to plan and operate community education programs.

Local program grant recipients receive different Federal shares based upon the status of their program. The Federal share is:

- 80 percent of a program to establish a new community education program.
- 65 percent of a program to expand or improve a community education program.
- 40 percent of a program to maintain or carry out a community education program.

Program Scope:

93 grants were awarded in Fiscal Year 1976.
92 grants were awarded in Fiscal Year 1977.
85 grants were awarded in Fiscal Year 1978.
72 grants were awarded in Fiscal Year 1979.

Institution	Amount of Appropriation	No. of Grants FY 79
LEA	$ 1,403,820	37
SEA	1,403,820	28
IHE	382,860	7

Though authorized, no funds were appropriated for this program in FY 75.

Program Effectiveness and Progress:

The Community Schools Act mandated that the Community Education Advisory Council present to Congress a "complete and thorough evaluation of the programs and operation" of the Community Education Program. To fulfill this requirement, the Advisory Council and the Office of Evaluation and Dissemination jointly funded an evaluation. In May 1977, a contract was awarded to Development Associates, Inc., to conduct the study. The objectives of this study were to describe the organization and operation of LEA, SEA, and IHE projects funded under this program, and to evaluate their impact at the local and State level. Survey data was collected late in 1977 and early 1978 from all projects refunded in FY 77 for their second year of operation. A sample of 20 of these projects was site-visited to obtain a more detailed picture of how Federal program objectives have been translated into project activities. A final report was presented to Congress in the Fall of 1978.

The report to Congress states that the study findings lead clearly to the overall conclusion that the legislative mandate of the Community Schools Act was met and that the federally supported community education projects were quite successful. Based on the study's findings and analyses it was further concluded that at each major level of program operation (i.e., IHE, SEA, and LEA):

- o substantial levels of effort, essentially in keeping with the terms of the federal grants and federal policy, have been expended;
- o these levels of program effort and activity were achieved, in part, because there were substantial commitments of non-federal resources, supplementin the federal funds (typically personnel and material, but with small amounts of cash);
- o the majority of the projects which had received federal funds for only one year were continuing at least some of these activities, and, in several, the level of effort, even without federal funds, had increased; and
- o the project-supported activities had produced desired effects on the educational and broader community systems with which they were concerned, and also produced identifiable and appreciated changes in individual project participants.

Finally, the program and project level staff encountered in this study seemed to have had an unusually high degree of interest in the quality of the operations and an especially high degree of commitment to the projects. This may be a function of the relative newness of the federal funding initiative, or the nature of the community education movement across the country.

Ongoing and Planned Evaluation Studies:

A study entitled, "Evaluation of the Community Education Program" is presently being initiated with findings due to be available in December 1980.

Source of Evaluation Data:

Annual reports from systematic evaluation studies.

New Legislation:

Title VIII of the Elementary and Secondary Education Act of 1965. Community Schools and Comprehensive Community Education Act of 1978 signed into Law on November 1, 1978.

For further information about program operations,

Contact: Bernard B. O'Hayre
245-0961

For further information about program evaluation,

Contact: Paul R. Messier
245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Consumers' Education

Legislation	Expiration Date
P.L. 95-561, Title III Part E,	June 30, 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1977	$ 15,000,000	$ 3,135,000
	1978	15,000,000	4,068,000
	1979	15,000,000	3,601,000
	1980	not less than 5,000,000	3,617,000

Program Goals and Objectives

The regulations and the Act specify the goals of this program as follows:

> Grants and procurement contracts will be issued for the purpose of identfying, assessing, and disseminating information on existing curricula in consumers' education; and to establish resource centers which will provide technical assistance, information, and short-term training to agencies, institutions and community groups in the implementing of consumers' education programs. Awards will be issed for the purpose of planning, establishing, expanding, and/or improving model community education programs in consumers' education which are designed to provide consumers' education to the general public in one or more communities. Grants and procurement contracts may also be issued for the purpose of providing short-term preservice or inservice training for teachers and other educational and noneducational personnel at the elementary and secondary school levels and in consumers' education programs in communities.

Program Operations

The program operates with discretionary funds which are used to support selected proposals following a panel review. There are no restrictions as to the geographical distribution of funds. Projects are designed to prepare consumers for participation in the marketplace by imparting the understanding, attitudes, and skills which will enable persons to make rational and intelligent consumer decisions in the light of their personal values, their recognition of marketplace alternatives, and social, economic, and ecological considerations.

Special target populations include: bilingual, elderly, Indian, handicapped, and correctional.

Program Scope

Fifty-seven grants and 13 procurement contracts will have been awarded by this program in fiscal year 1979. Twenty-nine States and the District of Columbia are represented in the 57 grant awards. Four of these applications represent re-submissions from fiscal year 1978 grantees.

There continue to be projects to meet the needs of low-income people, both urban and rural; to work with the elderly in several settings; to bring consumer education to groups whose first language is Spanish, to Native Americans on and off reservations, and to trade unionists.

Over 1,500 teachers and 100 people in key educational positions will have received training on consumer education topics ranging from effective family budgeting all the way to ways of judging advertising and promotional techniques designed to trap the unwary. Particular emphasis upon State leadership and the subsequent need for policy on consumer education will identify and clarify issues and problems statewide. In community and other nonprofit agencies, the stress is placed upon over 1,500 service providers with training and development activities designed to improve their consumer educational effectiveness with regard to specific target groups such as the elderly, handicapped, and low income, rural and urban populations. The focus upon institutional capacity building activities is evidenced in almost all projects by the direct emphasis on the service provider rather than the individual consumer.

Three major contracts were bid and let covering significant areas of service and technical assistance, dissemination, and curriculum development. The first, a three-year contract, involves the collection, organization and assessment of consumer education materials and will provide technical assistance to over 1,500 consumer education materials and will provide technical assistance to over 1,500 consumer education organizations and agencies. The second, a series of radio announcements identifying specific consumer problems and indicating what consumers can do will be issued to 8,000 radio stations nationwide reaching over 100,000,000 listeners. Last, a two year contract to analyze curriculum material was let to examine current materials to determine the specific areas of study not adequately present in existing textbooks and teaching materials.

Several small procurement contracts were issued to investigate specific issues useful to consumer educators and a very small dissemination system for the results of these procurement contracts has been developed and implemented with the Office of Consumers' Educat. There were 625 applications in fiscal year 1978 requesting support. Of this latter total, 56 were funded. In fiscal year 1978 the average grant award was $51,000 compared to this year's $56,300. A similar number of applications is anticipated in fiscal year 1980 with approximately the same number funded.

Program Effectiveness and Progress

Comment as to the effectiveness of the program is difficult to make on just one complete year of grants. It is expected that the Rules and Regulations of the first year will be used for the fourth year.

Ongoing and Planned Evaluation Studies

An exploratory evaluation is being planned for FY '81.

Sources of Evaluation Data

Interim and final reports from ongoing projects.

For further information about program operation,

Contact: Dustin Wilson
(202) 653-5983

For further information about program effectiveness,

Contact: Paul Messier
(202) 245-8877

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Women's Educational Equity

Legislation	Expiration Date
P.L. 95-561, Title IX, Part C	September 30, 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	$ -0-	$ -0-
	1976	30,000,000	6,270,000
	1977	30,000,000	7,270,000
	1978	30,000,000	8,085,000
	1979	30,000,000	9,000,000
	1980	80,000,000	10,000,000

Program Goals and Objectives

In accordance with the Act, the purpose of the program is to provide educational equity for women in the United States and to provide financial assistance to enable educational agencies and institutions to meet the requirements of Title IX of the Education Amendments of 1972.

The program defines its goals as:

A) The elimination of discrimination on the basis of sex and of those elements of sex role stereotyping and sex role socialization in educational institutions, programs, and curricula which prevent full and fair participation by women in educational programs and in American society generally.

B) The achievement of responsiveness by educational institutions, programs, curricula, policy makers, administrators, instructors, and other personnel to the needs, interests, and concerns of women arising from inequitable educational policies and practices.

There are two program strategies to achieve these goals. The first is a program of demonstration, developmental, and dissemination activities of national, general, or statewide significance. The second is direct assistance to projects of local significance to support the operation of programs of equal educational opportunities for both sexes, including activities to achieve compliance with Title IX.

Program Operations

The program may receive applications or proposals from any public agency, private nonprofit organization, or individual. They are reviewed by panels which are broadly representative of the concerns of the program. The most highly rated applications are funded, within the mandated requirements both for appropriate geographical distribution and for projects at all levels of education, as well as the regulatory requirement for projects which collectively represent to the extent possible the diverse needs and concerns in educational equity for women. This program, under the Commissioner's approval, is entirely discretionary.

Program Scope

Between FY 1976 and 1979 294 single or multiyear grants were awarded and 23 single or multiyear contracts for a total of $29,625,000. Activities are mandated at all levels of education--preschool through adult. The program aims at both children and adults, both women and men; ethnic, regional, and socioeconomic groups; educational personnel as well as parents, students, and concerned citizens.

Program Effectiveness and Progress

Previous regulations were published on February 12, 1976 and June 28, 1977. Proposed regulations to implement the reauthorization Act were published in May 1979. Testimony at hearings on the reauthorization noted the effectiveness of the program and projects to date.

Ongoing and Planned Evaluation Studies

The National Advisory Council on Women's Educational Program has a mandated responsibility to evaluate programs and projects. The Council is conducting a comprehensive evaluation in FY 1979 that includes the two previous studies that it has done and expands them substantially.

The Women's Program Staff has a 42-month contract for case studies of a variety of projects to assess their implementation and for measurement instruments that can be used by equity projects.

The Office of Evaluation and Dissemination will conduct an exploratory evaluation that is scheduled to begin in February 1980.

Sources of Evaluation Data

Project Reports and studies cited above.

For further information about program operations,

Contact: Leslie Wolfe
(202) 245-2181

For further information about program evaluation,

Contact: Alice Scates
(202) 245-8380

ANNUAL EVALUATION REPORT ON EDUCATION PROGRAMS

Program Name

Arts in Education Program

Legislation	Expiration Date
P.L. 95-561, Part C, Title III	June 30, 1983

FUNDING HISTORY	YEAR	AUTHORIZATION	APPROPRIATION
	1975	-0-	
	1976	Not less than $ 750,000	$ 750,000
	1977	Not less than 750,000	$ 1,750,000
	1978	Not less than 750,000	$ 2,000,000
	1979	Not less than 750,000	$ 3,000,000
	1980	20,000,000	$ 3,500,000

Program Goals and Objectives

The legislative intent for this program is to encourage and assist State and local educational agencies to establish programs in which the arts are an integral part of elementary and secondary school programs. The program purpose, in accordance with the published regulations, is to:

(1) Encourage the development, in students, of an aesthetic awareness in the arts

(2) Foster self-actualization and the development of communicative skills through movement, sound visual images, and verbal usage

(3) Involve each student in each school covered by the application in enjoyment, understanding, creation, and evaluation of, and participation in, the arts

(4) Address the spectrum of art forms, including at least dance, music, drama, and the visual arts

(5) Integrate these art forms into the regular educational program as distinguished from treating them on an extra-curricular or peripheral basis; and

(6) Infuse the arts into the curriculum to enhance and improve the quality of aesthetic education offered, and expand the use of the arts for cognitive and affective learning experience.

Program Operations

Grants are awarded to State and local educational agencies on a competitive basis. The John F. Kennedy Center for the Performing Arts, through the Alliance for Arts Education, assists with the review of proposals and provides a variety of forms of technical assistance to grant recipients.

Projects funded tend to combine a variety of activities designed to integrate an appreciation of the arts with educational practices. These activities focus on students as well as on teachers (e.g., through training programs) and other education practitioners (e.g., through State and local conferences).

Program Scope

The program used some Salary and Expense monies in FY 75 to conduct regional conferences and workshops, and to assist States in planning for arts educational programs. Rules and regulations were published in April 1976 and grants were awarded for the first time under this program in July 1976.

The following represents the four-year program breakdown:

	State	Local	Trust Territories	BIA*	Total
1976	41	44	3	1	89
1977	29	47	1	0	77
1978	41	39	0	0	80
1979	43	39	1	0	83

1/ BIA (Bureau of Indian Affiars) was ruled an ineligible applicant to the program by the Office of General Counsel of the Education Divsion of HEW and has therefore not been considered for funding after this initial grant.

At the State level funded projects have generally included such activities as mini-grant programs for local school districts, Statewide conferences to promote the concept of arts in education, Statewide teacher training activities and the acceptance of a Statewide plan for the arts. At the local level projects are even more varied but have especially narrowed upon inservice teacher training, technical assistance contracts for arts consultants; training workshops and project planning research.

In the fall of 1976 Congress appropriated an additional $1 million under the program, over and above $750,000 for FY 77 grants to State and local education agencies. This additional $1 million was provided specifically for: the Alliance for Arts Education ($750,000) and the National Committee/Arts for the Handicapped ($250,000).

Begining in 1977 the Congress has annually doubled the amount to be provided for the National Committee/Arts for the Handicapped, bringing its current appropriation for 1979 up to $1 million. In addition, the Congress increased Arts Education project funds by $500,000 for the FY 79. The additional funds will be awarded to State and local applicants through a Request for Proposals this summer. The purpose of the RFP will be to identify and support programs in arts education which exemplify the infusion of the arts into the basic elementary and secondary school curriculum involvement and cooperative planning.

In 1980, the Arts in Education program will shift its focus in an effort to promote collaboration between schools and local arts resources. Larger grants will be awarded to arts education projects which "saturate" a community. Involvement of community resources, such as museums, performing arts companies, parent groups, and universities and colleges, is a requirement of the new regulations which will govern the program as of 1980.

Program Effectiveness and Progress

Although currently only two years of funded projects have been completed and the final reports submitted, on the basis of the proposals themselves certain program trends are noticed. There is a growing frequency among applicants to encompass the secondary school population in an arts project. Nevertheless, the number of projects specifically designed for high school students is disproportionaltely small compared with that number for elementary school students. Inservice teacher training has remained the activity most often funded while funding for curriculum publishing and dissemination has increased.

Ongoing and Planned Evaluation Studies

Data has been collected by program staff which identify the levels of education of students involved in the projects, populations to be benefited, project activities, community resources utilized, evidence of cost-sharing, by-passed groups involved, university participation and the level of support by State Arts Education Alliances. By the fall of 1981 an evaluation of the four-year program will be completed by the program office.

Source of Evaluation Data

Program Reports

For further information about program operations,

Contact: Harold Arberg
(202) 245-8912

For further information about program evaluation,

Contact: Paul R. Messier
(202) 245-8877

APPENDIX A.

OED SPONSORED EVALUATION ACTIVITIES CONTAINING FY 1979 FUNDS

OED SPONSORED EVALUATION ACTIVITIES CONTAINING FY 1979 FUNDS

100000 Series: Elementary & Secondary Programs........... 1

300000 Series: Postsecondary Programs....................10

500000 Series: Occupational, Handicapped, and Developmental Programs...................12

900000 Series: Miscellaneous............................15

--This listing includes only activities containing FY 1979 funds

--All funds are "P & E" unless otherwise indicated under Description of Contract"

```
                 SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF OCTOBER 31, 1979
                                       CONTAINING 79 FUNDS

SEP.                                                                       CONTRACTOR NAME,          PROJECT MONITOR  FY  79
NO.          CONTRACT NUMBER              DESCRIPTION OF CONTRACT       LOCATION, AND TYPE,          & ORGANIZATION  DOLLARS
                                                                        START AND END DATES

1. ELEMENTARY AND SECONDARY PROGRAMS

1 75 001    300-75-0332               EVALUATION OF THE SUSTAINING         SYSTEM DEVELOPMENT CORP.           ANDERSON J K  3082510
                                      EFFECTS OF COMPENSATORY EDUCATION    SANTA MONICA, CAL.          (P)    OED
                                      (PRIMARILY TITLE I FUNDS WITH SOME    7/75 TO 12/80
                                      P&E AND S&E FUNDS)
  FUNDING HISTORY, FY 75:   4025600
                      76:   2149947
                      77:   3410539
                      78:   3865027
                      79:   3082510
                  TOTAL:   16533623

1 76 004    300-76-0093               EVALUATION OF THE TITLE I PROGRAM    SYSTEM DEVELOPMENT CORP.           ANDERSON J K   297828
                                      IN STATE INSTITUTIONS FOR NEGLECTED  SANTA MONICA, CAL.          (P)    OED
                                      AND DELINQUENT CHILDREN ($254,539     2/76 TO  2/80
                                      TITLE I FUNDS IN 77; ALL SUCH IN 79)
  FUNDING HISTORY, FY 76:    357876
                      77:   1668423
                      79:    297828
                  TOTAL:    2324127

1 76 005    300-76-0095               EVALUATION OF THE IMPACT OF THE      RESEARCH TRIANGLE INSTITUTE        HULTEN          66577
                                      ESEA TITLE I MIGRANT PROGRAM         DURHAM, N. C.               (N)    OED
                                      (TITLE I FUNDS EXCEPT $32,645 P&E     2/76 TO 10/80
                                      FUNDS IN FY 79)
  FUNDING HISTORY, FY 76:    470707
                      77:   1138151
                      78:   2075616
                      79:     66577
                  TOTAL:    3751051

1 76 011    300-76-0541               OPERATION OF ESEA TITLE I TECHNICAL  RMC RESEARCH CORP.                 FISHBEIN       227496
  COMPLETED                           ASSISTANCE CENTER--REGION I (TITLE   PORTSMOUTH, N. H.           (P)    OED
                                      I FUNDS)                             10/76 TO  9/79
  FUNDING HISTORY, FY 76:    116907
                      77:    189684
                      78:    721792
                      79:    227496
                  TOTAL:    1255879

1 76 012    300-76-0542               OPERATION OF ESEA TITLE I TECHNICAL  EDUCATIONAL TESTING SERVICE        FISHBEIN       211643
  COMPLETED                           ASSISTANCE CENTER--REGION II (TITLE  PRINCETON N.J.              (N)    OED
                                      I FUNDS)                             10/76 TO  9/79
  FUNDING HISTORY, FY 76:    108037
                      78:    346212
                      79:    211643
                  TOTAL:     665892
```

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF OCTOBER 31, 1979
CONTAINING 79 FUNDS

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJECT MONITOR & ORGANIZATION	FY 79 DOLLARS
1 76 013 COMPLETED	300-76-0543 FUNDING HISTORY, FY 76: 109548 78: 1993443 79: 496491 TOTAL: 2599482	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION III (TITLE I FUNDS)	NATIONAL TESTING SERVICE DURHAM, N.C. 10/76 TO 9/79	(N)	FISHBEIN OED	496491
1 76 014 COMPLETED	300-76-0544 FUNDING HISTORY, FY 76: 112519 77: 53407 78: 175747 79: 223760 TOTAL: 565433	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION IV (TITLE I FUNDS)	EDUCATIONAL TESTING SERVICE ATLANTA, GA. 10/76 TO 9/79	(N)	FISHBEIN OED	223760
1 76 015 COMPLETED	300-76-0545 FUNDING HISTORY, FY 76: 112403 77: 121998 78: 400309 79: 612274 TOTAL: 1246983	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION V (TITLE I FUNDS)	EDUCATIONAL TESTING SERVICE EVANSTON, ILL. 10/76 TO 9/79	(N)	FISHBEIN OED	612274
1 76 016 COMPLETED	300-76-0546 FUNDING HISTORY, FY 76: 120630 77: 105286 78: 492153 79: 247485 TOTAL: 965554	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION VI (TITLE I FUNDS)	RESOURCE DEVELOPMENT INSTITUTE AUSTIN, TEXAS 10/76 TO 9/79	(P)	FISHBEIN OED	247485
1 76 017 COMPLETED	300-76-0547 FUNDING HISTORY, FY 76: 118008 77: 91601 78: 432998 79: 442826 TOTAL: 1085433	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION VII (TITLE I FUNDS)	AMERICAN INSTITUTES FOR RESEARCH PALO ALTO, CAL. 10/76 TO 9/79	(N)	FISHBEIN OED	442826
1 76 018 COMPLETED	300-76-0548 FUNDING HISTORY, FY 76: 114772 77: 122443 78: 371794 79: 343535 TOTAL: 952544	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION VIII (TITLE I FUNDS)	NORTHWEST REGIONAL LABORATORY PORTLAND ORE. 10/76 TO 9/79	(N)	FISHBEIN OED	343535

```
                         SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF OCTOBER 31, 1979
                                              CONTAINING 79 FUNDS

SER.                                                                         CONTRACTOR NAME,              PROJECT MONITOR   FY 79
NO.          CONTRACT NUMBER            DESCRIPTION OF CONTRACT              LOCATION, AND TYPE,           & ORGANIZATION   DOLLARS
                                                                             START AND END DATES

1 76 019     300-76-0549                 OPERATION OF ESEA TITLE I TECHNICAL  NORTHWEST REGIONAL LABORATORY     FISHBEIN          254500
  COMPLETED                              ASSISTANCE CENTER--REGION IX         PORTLAND ORE.                 (N) OED
                                         (TITLE I FUNDS)                      10/76 TO  9/79
  FUNDING HISTORY, FY 76:     111695
                      77:     110960
                      78:     386677
                      79:     254500
                  TOTAL:      863792

1 76 020     300-76-0550                 OPERATION OF ESEA TITLE I TECHNICAL  NORTHWEST REGIONAL LABORATORY     FISHBEIN          256265
  COMPLETED                              ASSISTANCE CENTER--REGION X (TITLE   PORTLAND ORE.                 (N) OED
                                         I FUNDS)                             10/76 TO  9/79
  FUNDING HISTORY, FY 76:     109771
                      77:      59278
                      78:     349203
                      79:     256265
                  TOTAL:      774517

1 76 030     300-76-0330                 EVALUATION OF PROJECT INFORMATION    AMERICAN INSTITUTES FOR RESEARCH  BURNES             11379
  COMPLETED--REPORT AVAILABLE            (PIPS) DISSEMINATION AND IMPLEMENT-  PALO ALTO, CAL.               (N) OED
                                         ATION (PIPS FUNDS)                    7/76 TO  6/79
  FUNDING HISTORY, FY 76:     423695
                      77:     408519
                      79:      11379
                  TOTAL:      843593

1 77 003     300-77-0344                 DEVELOPMENT OF EVALUATION MODELS     HURON INSTITUTE                   STONEHILL         189089
                                         FOR TITLE I PROGRAMS IN EARLY        BOSTON, MASS.                 (N) OED
                                         CHILDHOOD EDUCATION (TITLE I FUNDS)  10/77 TO  2/80
  FUNDING HISTORY, FY 77:      50000
                      78:     206078
                      79:     189089
                  TOTAL:      445167

1 77 010     300-77-0327                 A STUDY OF THE EFFECTS OF SELECTED   SYSTEM DEVELOPMENT CORP.          BURNES            313642
                                         ESAA SUPPORTED ACTIVITIES ON INTER-  SANTA MONICA, CAL.            (P) OED
                                         GROUP RELATIONS AND BASIC SKILLS      8/77 TO 12/80
                                         (ESAA FUNDS)
  FUNDING HISTORY, FY 77:    1174438
                      78:    1463741
                      79:     313642
                  TOTAL:     2951821

1 78 001     300-78-0437                 STUDY OF PARENTAL INVOLVEMENT IN     SYSTEM DEVELOPMENT CORP.          BURNS            1309423
                                         VARIOUS PROGRAMS (ESAA, FOLLOW THRU, SANTA MONICA, CAL.            (P) OED
                                         S&E, BILINGUAL, & TITLE I FUNDS)      9/78 TO 12/80
                                         FUNDS)
  FUNDING HISTORY, FY 78:     639158
                      79:    1309423
                  TOTAL:     1948581
```

```
                    SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF OCTOBER 31, 1979
                                        CONTAINING 79 FUNDS

SER.                                                                  CONTRACTOR NAME,              PROJECT MONITOR  FY 79
NO.          CONTRACT NUMBER             DESCRIPTION OF CONTRACT     LOCATION, AND TYPE,           & ORGANIZATION  DOLLARS
                                                                     START AND END DATES


1 78 011    300-78-0182              AN ANLYSIS OF ISSUES IN ESEA          RMC RESEARCH CORPORATION             ANDERSON J K    259104
                                     TITLE I EVALUATION AND REPORTING      MOUNTAIN VIEW, CAL.           (P)    OED
                                     (TITLE I FUNDS)                        7/78 TO  2/80
  FUNDING HISTORY, FY 78:     398755
                      79:     259104
                  TOTAL:      657859

1 78 013    300-78-0355              PERFORMANCE REVIEW OF USOE'S ESEA     HOPE ASSOCIATES                      BAKER            95000
  COMPLETED                          TITLE I EVALUATION TECHNICAL ASSIS-   WASHINGTON, D. C.             (P)    P
                                     TANCE PROGRAM (TITLE I FUNDS)          9/78 TO  4/79
  FUNDING HISTORY, FY 79:      95000
                  TOTAL:       95000

1 78 031    300-78-0527              STUDY OF DISSEMINATION EFFORTS SUP-   NETWORK OF INNOVATIVE SCHOOLS        BEZDEK          164918
                                     PORTING SCHOOL IMPROVEMENT            ANDOVER, MASS.                (N)    OED
                                     ($1,519,700 DISSEM & $507,618 FOLLOW   9/78 TO  6/81
                                     THRU FUNDS IN 78, ALL DISS IN 79)
  FUNDING HISTORY, FY 78:    2117318
                      79:     164918
                  TOTAL:     2282236

1 78 040    300-78-0521              STUDY OF SUPPLEMENTAL TRAINING        REHAB GROUP, INC.                    OKADA            12730
                                     AVAILABLE TO FOLLOW THROUGH PARENTS   ARLINGTON, VIRGINIA           (P)    OED
                                     AND AIDES (FOLLOW THRU FUNDS)          9/78 TO 11/79
  FUNDING HISTORY, FY 78:      50769
                      79:      12730
                  TOTAL:       63499

1 79 001    300-79-0467              A COMPREHENSIVE STUDY OF EVALUATION   NORTHWESTERN UNIVERSITY              ANDERSON J K    350000
                                     PRACTICES AND PROCEDURES IN FEDER-    EVANSTON, ILLINOIS            (B)    OED
                                     ALLY FUNDED ELEMENTARY AND SECONDARY   9/79 TO  6/81
                                     EDUCATION PROGRAMS
  FUNDING HISTORY, FY 79:     350000
                  TOTAL:      350000

1 79 002    300-79-0690              STUDY ON PROGRAM EVALUATION IN        NATIONAL ACADEMY OF SCIENCES         WEINMAN          99900
                                     EDUCATION                             WASHINGTON, D. C.             (N)    OUC
                                                                            9/79 TO  9/80
  FUNDING HISTORY, FY 79:      99900
                  TOTAL:       99900

1 79 101    300-79-0014              STATE REFINEMENTS TO THE USOE         MONTANA DEPT OF PUBLIC INSTRCTN      STONEHILL         6826
                                     EVALUATION AND REPORTING SYSTEM FOR   HELENA, MONTANA               (S)    OED
                                     ESEA TITLE I (TITLE I FUNDS)          10/78 TO 11/79
  FUNDING HISTORY, FY 79:       6826
                  TOTAL:        6826
```

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF OCTOBER 31, 1979
CONTAINING 79 FUNDS

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJECT MONITOR & ORGANIZATION	FY 79 DOLLARS
1 79 102 COMPLETED	300-79-0016	STATE REFINEMENTS TO THE USOE EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	ARKANSAS DEPT OF EDUCATION LITTLE ROCK, ARKANSAS (S) 12/78 TO 8/79	STONEHILL OED	26500
FUNDING HISTORY, FY 79: 26500 TOTAL: 26500					
1 79 103	300-79-0017	STATE REFINEMENTS TO THE USOE EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	NEBRASKA STATE DEPT OF EDUCATION LINCOLN, NEBRASKA (S) 1/79 TO 12/79	DAVENPORT OED	33505
FUNDING HISTORY, FY 79: 33505 TOTAL: 33505					
1 79 104	300-79-0018	STATE REFINEMENTS TO THE USOE EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	PENNSYLVANIA DEPT OF EDUCATION HARRISBURG, PA. (S) 11/78 TO 11/79	ANDERSON J I OED	31912
FUNDING HISTORY, FY 79: 31912 TOTAL: 31912					
1 79 105	300-79-0019	STATE REFINEMENTS TO THE USOE EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	OREGON STATE DEPT OF EDUCATION SALEM, OREGON (S) 12/78 TO 11/79	STONEHILL OED	35106
FUNDING HISTORY, FY 79: 35106 TOTAL: 35106					
1 79 106	300-79-0021	STATE REFINEMENTS TO THE USOE EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	KANSAS STATE DEPT OF EDUCATION TOPEKA, KANSAS (S) 12/78 TO 11/79	DAVENPORT OED	22000
FUNDING HISTORY, FY 79: 22000 TOTAL: 22000					
1 79 107	300-79-0022	STATE REFINEMENTS TO THE USOE EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	WASHINGTON DEPT OF PUBLIC INSTR OLYMPIA, WASHINGTON (S) 12/78 TO 11/79	ANDERSON J K OED	30483
FUNDING HISTORY, FY 79: 30483 TOTAL: 30483					
1 79 108	300-79-0024	STATE REFINEMENTS TO THE USOE EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	NO. CAROLINA DEPT OF PUBL INSTR RALEIGH, N. C. (S) 12/78 TO 12/79	FISHBEIN OED	34621
FUNDING HISTORY, FY 79: 34621 TOTAL: 34621					
1 79 109	300-79-0025	STATE REFINEMENTS TO THE USOE EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	RHODE ISLAND DEPT OF EDUCATION PROVIDENCE, R. I. (S) 12/78 TO 11/79	ANDERSON J I OED	23900
FUNDING HISTORY, FY 79: 23900 TOTAL: 23900					

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF OCTOBER 31, 1979
CONTAINING 79 FUNDS

SEP. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES	PROJECT MONITOR & ORGANIZATION	FY 79 DOLLARS
1 79 110	300-79-0034	STATE REFINEMENTS TO THE USOE EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	NEW JERSEY DEPT OF EDUCATION TRENTON, NEW JERSEY (S) 12/78 TO 11/79	FISHBEIN OED	27596
FUNDING HISTORY, FY 79: TOTAL:	27596 27596				
1 79 111	300-79-0035	STATE REFINEMENTS TO THE USOE EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	ILLINOIS ST BOARD OF EDUCATION SPRINGFIELD, ILL. (S) 12/78 TO 11/79	ANDERSON J K OED	39551
FUNDING HISTORY, FY 79: TOTAL:	39551 39551				
1 79 112	300-79-0037	STATE REFINEMENTS TO THE USOE EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	TENNESSEE ST DEPT OF EDUCATION NASHVILLE, TENN. (S) 1/79 TO 12/79	ANDERSON J K OED	47414
FUNDING HISTORY, FY 79: TOTAL:	47414 47414				
1 79 113	300-79-0041	STATE REFINEMENTS TO THE USOE EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	NEW YORK STATE EDUCATION DEPT. ALBANY, NEW YORK (S) 1/79 TO 1/80	STONEHILL OED	28949
FUNDING HISTORY, FY 79: TOTAL:	28949 28949				
1 79 114	300-79-0043	STATE REFINEMENTS TO THE USOE EVALUATION AND REPORTING SYSTEM FOR ESEA TITLE I (TITLE I FUNDS)	LOUISIANA ST DEPT OF EDUCATION BATON ROUGE, LA. (S) 12/78 TO 11/79	STONEHILL OED	19992
FUNDING HISTORY, FY 79: TOTAL:	19992 19992				
1 79 115 COMPLETED	P00-79-0050	SAMPLING STRATEGY FOR LEA EVALUATION OF ESEA TITLE I (TITLE I FUNDS)	RESEARCH TRIANGLE INSTITUTE DURHAM, N. C. (N) 12/78 TO 4/79	GROVES OED	9475
FUNDING HISTORY, FY 79: TOTAL:	9475 9475				
1 79 116 COMPLETED--REPORT AVAILABLE	300-79-0313	EVALUATION HANDBOOK EXECUTIVE SUMMARY (TITLE I FUNDS)	VEALE, JAMES R. BERKELEY, CAL. (I) 8/79 TO 9/79	ANDERSON J K OED	2675
FUNDING HISTORY, FY 79: TOTAL:	2675 2675				
1 79 117	300-79-0726	A STUDY OF THE UTILIZATION AND EFFECTS OF ALTERNATIVE MEASURES OF COMPARABILITY (TITLE I FUNDS)	APPLIED URBANETICS, INC. WASHINGTON, D.C. (P) 9/79 TO 6/81	STOWE OED	200000
FUNDING HISTORY, FY 79: TOTAL:	200000 200000				

6

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF OCTOBER 31, 1979
CONTAINING 79 FUNDS

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJECT MONITOR & ORGANIZATION	FY 79 DOLLARS
1 79 118	300-79-0246	DESCRIPTIVE AND ANALYTICAL CONSIDERATIONS OF STATISTICAL SAMPLING ON STATE ESEA TITLE I EVALUATION REPORTS (TITLE I FUNDS)	RESEARCH TRIANGLE INSTITUTE DURHAM, N. C. 9/79 TO 1/80	(N)	GROVES OED	9500
	FUNDING HISTORY, FY 79: 9500 TOTAL: 9500					
1 79 121	300-79-0481	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION I (TITLE I FUNDS)	RMC RESEARCH CORP. PORTSMOUTH, N. H. 10/79 TO 9/80	(P)	ANDERSON J I OED	676713
	FUNDING HISTORY, FY 79: 676713 TOTAL: 676713					
1 79 122	300-79-0482	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION II (TITLE I FUNDS)	EDUCATIONAL TESTING SERVICE PRINCETON N.J. 10/79 TO 9/80	(N)	STONEHILL OED	475468
	FUNDING HISTORY, FY 79: 475468 TOTAL: 475468					
1 79 123	300-79-0483	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION III (TITLE I FUNDS)	NATIONAL TESTING SERVICE DURHAM, N.C. 10/79 TO 9/80	(N)	ANDERSON J I OED	917115
	FUNDING HISTORY, FY 79: 917115 TOTAL: 917115					
1 79 124	300-79-0484	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION IV (TITLE I FUNDS)	EDUCATIONAL TESTING SERVICE ATLANTA, GA. 10/79 TO 9/80	(N)	ANDERSON J I OED	465519
	FUNDING HISTORY, FY 79: 465519 TOTAL: 465519					
1 79 128	300-79-0488	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION VIII (TITLE I FUNDS)	NORTHWEST REGIONAL LABORATORY PORTLAND ORE. 10/79 TO 9/80	(N)	STONEHILL OED	708200
	FUNDING HISTORY, FY 79: 708200 TOTAL: 708200					
1 79 129	300-79-0489	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION IX (TITLE I FUNDS)	NORTHWEST REGIONAL LABORATORY PORTLAND ORE. 10/79 TO 9/80	(N)	ANDERSON J I OED	579384
	FUNDING HISTORY, FY 79: 579384 TOTAL: 579384					
1 79 130	300-79-0490	OPERATION OF ESEA TITLE I TECHNICAL ASSISTANCE CENTER--REGION X (TITLE I FUNDS)	NORTHWEST REGIONAL LABORATORY PORTLAND ORE. 10/79 TO 9/80	(N)	STONEHILL OED	503601
	FUNDING HISTORY, FY 79: 503601 TOTAL: 503601					

```
                    SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF OCTOBER 31, 1979
                                          CONTAINING 79 FUNDS
SER.
NO.          CONTRACT NUMBER               DESCRIPTION OF CONTRACT                 CONTRACTOR NAME,               PROJECT MONITOR  FY 79
                                                                                 LOCATION, AND TYPE,             & ORGANIZATION  DOLLARS
                                                                                 START AND END DATES

1 79 201     300-79-0698            STUDY OF ESAA FUNDED PROGRAMS TO      JWK INTERNATIONAL CORP.                   YORK         120827
                                    REDUCE DISPROPORTIONATE DISCIPLINARY  ANNANDALE, VIRGINIA              (P)      OED
                                    ACTIONS AGAINST MINORITY STUDENTS      9/79 TO  9/80
  FUNDING HISTORY, FY 79:   120827  (ESAA FUNDS)
               TOTAL:      120827

1 79 202     300-79-0417            PREPARATION OF PAPER DESCRIBING        NTS RESEARCH CORP.                       YORK           4880
                                    LANGUAGE IMMERSION SCHOOLS (ESAA       DURHAM, NORTH CAROLINA          (N)      OED
  FUNDING HISTORY, FY 79:     4880  FUNDS)                                  9/79 TO 11/79
               TOTAL:        4880

1 79 301     300-79-0470            PREPARATION OF FOLLOW THROUGH LATER    STANFORD RESEARCH INSTITUTE              BURNS         14825
                                    EFFECTS DATA FILES--SRI PORTION        MENLO PARK, CALIF.              (N)      OED
  FUNDING HISTORY, FY 79:    14825  (FOLLOW THRU FUNDS)                     9/79 TO  3/80
               TOTAL:       14825

1 79 302     300-79-0469            PREPARATION OF FOLLOW THROUGH LATER    SCHOOL DISTRICT OF PHILADELPHIA          BURNS          9999
                                    EFFECTS DATA FILES--PHILADELPHIA       PHILADELPHIA, PENNA.            (L)      OED
  FUNDING HISTORY, FY 79:     9999  SCHOOLS PORTION (FOLLOW THRU FUNDS)     9/79 TO  3/80
               TOTAL:        9999

1 79 401     300-79-0937            ASSESSMENT OF THE NATIONAL DIFFUSION   DINGLE ASSOCIATES                        BEZDEK        83068
                                    NETWORK'S TECHNICAL ASSISTANCE         WASHINGTON, D.C.                (P)      OED
  FUNDING HISTORY, FY 79:    83068  ACTIVITIES (DISSEM FUNDS)               7/79 TO  3/80
               TOTAL:       83068

1 79 402     400-79-041             SUPPORT OF STUDY OF SCHOOL DISTRICT    NATIONAL INSTITUTE OF EDUCATION          ANDERSON J I 150000
                                    USE OF EVALUATION AND TEST INFORMA-    WASHINGTON, D.C.                (F)      OED
  FUNDING HISTORY, FY 79:   150000  TION (DISSEM FUNDS)                     9/79 TO  9/81
               TOTAL:      150000

1 79 501     300-79-0040            A STUDY OF ESEA TITLE VII FUNDED       RMC RESEARCH CORPORATION                 OKADA        365457
                                    AND OTHER BILINGUAL TEACHER TRAINING   MOUNTAIN VIEW, CAL.             (P)      OED
  FUNDING HISTORY, FY 79:   365457  PROGRAMS (BILINGUAL FUNDS)             12/78 TO  6/81
               TOTAL:      365457

1 79 502     300-79-0675            EVALUATION OF THE CLASSROOM INSTRUC-   DEVELOPMENT ASSOCIATES                   SHOEMAKER    615000
                                    TION COMPONENT OF THE ESEA TITLE       ARLINGTON, VA.                  (P)      OED
                                    VII BILINGUAL EDUCATION PROGRAM        10/79 TO  9/82
  FUNDING HISTORY, FY 79:   615000  (BILINGUAL FUNDS)
               TOTAL:      615000
```

```
                              SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF OCTOBER 31, 1979
                                                     CONTAINING 79 FUNDS

SER.
NO.             CONTRACT NUMBER                 DESCRIPTION OF CONTRACT                  CONTRACTOR NAME,         PROJECT MONITOR  FY  79
                                                                                        LOCATION, AND TYPE,      & ORGANIZATION  DOLLARS
                                                                                        START AND END DATES

....................SUBTOTAL ELEMENTARY AND SECONDARY PROGRAMS            49641677

   FUNDING HISTORY, FY 67-69:          0
                          70:          0
                          71:          0
                          72:          0
                          73:          0
                          74:          0
                          75:    8025600
                          76:    8535925
                          77:    8709927
                          78:   16486789
                          79:   15888436
                          80:          0
                          81:          0
```

```
                         SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF OCTOBER 31, 1979
                                             CONTAINING 79 FUNDS

SER.                                                                       CONTRACTOR NAME,            PROJECT MONITOR  FY  79
NO.          CONTRACT NUMBER               DESCRIPTION OF CONTRACT        LOCATION, AND TYPE,         & ORGANIZATION  DOLLARS
                                                                          START AND END DATES

3. POSTSECONDARY PROGRAMS

3 75 011     FUNDS TRANSFER              SUPPORT OF SUPPLY AND EDUCATION        NATIONAL SCIENCE FOUNDATION          RATNOFSKY        77250
                                         ANALYSIS GROUP OF THE HIGHER           WASHINGTON, D. C.               (F)  OED
                                         EDUCATION PANEL (CONTINUING PROJECT)    7/74 TO  9/80
  FUNDING HISTORY, FY 75:     63442
                      76:     62900
                      77:     70000
                      78:     77190
                      79:     77250
                  TOTAL:     350782

3 77 002     300-77-0497                 EVALUATION OF THE OE CRITERIA FOR      EDUCATIONAL TESTING SERVICE          BEHLS             9403
                                         THE RECOGNITION OF ACCREDITING AND     PRINCETON N.J.                  (N)  OED
                                         STATE APPROVAL AGENCIES                10/77 TO 12/79
  FUNDING HISTORY, FY 77:    325751
                      78:     33300
                      79:      9403
                  TOTAL:     368454

3 78 006     300-78-0208                 SURVEY OF PARENTS OF HIGH SCHOOL       NATL OPINION RESEARCH CORP.          KOCH            448906
                                         SENIORS (OPBE FUNDED PORTION OF        CHICAGO, ILL.                   (N)  OED
                                         NCES CONTRACT)                          9/78 TO 12/80
  FUNDING HISTORY, FY 78:     60000
                      79:    448906
                  TOTAL:     508906

3 79 001     300-79-0776                 THE FINANCIALLY DISTRESSED INSTITU-    AMERICAN COUNCIL ON EDUCATION        MAXWELL         288820
                                         TION                                   WASHINGTON D.C.                 (N)  OED
                                                                                 9/79 TO  3/81
  FUNDING HISTORY, FY 79:    288820
                  TOTAL:     288820

3 79 002     300-79-0777                 EVALUATION OF THE LANGUAGE TRAINING    THE RAND CORPORATION                 BEHLS           483423
                                         AND AREA STUDIES PROGRAM               SANTA MONICA CAL.               (N)  OED
                                                                                10/79 TO 12/81
  FUNDING HISTORY, FY 79:    483423
                  TOTAL:     483423

3 79 003     300-79-0823                 INDEBTEDNESS TO FINANCE POST-          EDUCATIONAL TESTING SERVICE          KOCH             96206
                                         SECONDARY EDUCATION                    WASHINGTON, D.C.                (N)  OED
                                                                                 9/79 TO  8/80
  FUNDING HISTORY, FY 79:     96206
                  TOTAL:      96206

3 79 004     300-79-0389                 STATE REGULATORY AGENCY FIELD TEST     AMERICAN INSTITUTES FOR RESEARCH     BEHLS            95427
                                         OF THE AIR INSTITUTIONAL REPORT FORM   PALO ALTO, CAL.                 (N)  OED
                                                                                 9/79 TO  8/80
  FUNDING HISTORY, FY 79:     95427
                  TOTAL:      95427
```

```
                                    SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF OCTOBER 31, 1979
                                                        CONTAINING 79 FUNDS

SER.                                                                                 CONTRACTOR NAME,                PROJECT MONITOR  FY 79
NO.           CONTRACT NUMBER                  DESCRIPTION OF CONTRACT              LOCATION, AND TYPE,             & ORGANIZATION  DOLLARS
                                                                                    START AND END DATES


3 79 005    300-79-0437                  LONGITUDINAL FOLLOW-UP STUDY OF       APPLIED MANAGEMENT SCIENCES INC    RAINOFSKY      359318
                                         PROGRAM MANAGEMENT PROCEDURES IN THE  SILVER SPRING, MD.           (P)   OED
                                         CAMPUS-BASED AND BASIC GRANT PRO-      9/79 TO  5/80
                                         GRAMS
  FUNDING HISTORY, FY 79:    359318
                  TOTAL:    359318

3 79 006    HEW-100-79-0038              EXPLORATORY EVALUATION OF THE         APPLIED MANAGEMENT SCIENCES INC    HERSHNER        72919
                                         COOPERATIVE EDUCATION PROGRAM         SILVER SPRING, MD.           (P)   OED
                                                                                9/79 TO  5/80
  FUNDING HISTORY, FY 79:     72919
                  TOTAL:     72919

3 79 007    300-79-0232                  DESIGN FOR STUDY OF TRENDS IN INDI-   AMERICAN COUNCIL ON EDUCATION      CORRALLO         9818
  COMPLETED--REPORT AVAILABLE            CATORS OF FINANCIAL CONDITIONS OF     WASHINGTON D.C.              (N)   OED
  ED                                     INSTITUTIONS OF HIGHER EDUCATION       4/79 TO  8/79
  FUNDING HISTORY, FY 79:      9818
                  TOTAL:      9818

3 79 008    A00-79-014                   SUPPORT OF 1979 COOPERATIVE INSTI-    NATIONAL INSTITUTE OF EDUCATION    RAINOFSKY      100000
                                         TUTIONAL RESEARCH PROGRAM             WASHINGTON, D.C.             (F)   OED
                                                                                4/79 TO  3/80
  FUNDING HISTORY, FY 79:    100000
                  TOTAL:    100000

...................SUBTOTAL POSTSECONDARY PROGRAMS                        2734073

  FUNDING HISTORY, FY 67-69:          0
                       70:          0
                       71:          0
                       72:          0
                       73:          0
                       74:          0
                       75:      63442
                       76:      62900
                       77:     395751
                       78:     170490
                       79:    2041490
                       80:          0
                       81:          0
```

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF OCTOBER 31, 1979
CONTAINING 79 FUNDS

```
SER.                                                                    CONTRACTOR NAME,                   PROJECT MONITOR  FY 79
NO.          CONTRACT NUMBER              DESCRIPTION OF CONTRACT      LOCATION, AND TYPE,                & ORGANIZATION  DOLLARS
                                                                       START AND END DATES

5. OCCUPATIONAL, HANDICAPPED, DEVELOPMNTL

5 77 302    300-77-0468                 AN ASSESSMENT OF THE ESAA-TV          ABT ASSOCIATES                        KIRSCHENBAUM   180491
                                        PROGRAM THROUGH AN EXAMINATION OF     CAMBRIDGE MASS.                 (P)   OED
                                        ITS PRODUCTION, DISTRIBUTION, AND      9/77 TO  6/80
                                        FINANCING (ESAA FUNDS)
  FUNDING HISTORY, FY 77:     87986
                      78:    185277
                      79:    180491
                   TOTAL:    453754

5 77 502    HEW-100-76-0127             PREPARATION OF COMPUTER-PREPARED      PINKERTON COMPUTER CONSULTANTS        SPITZER         25000
                                        TABLES FOR ANNUAL CONGRESSIONAL       BAILEY'S CROSSROADS, VA.        (P)   OED
                                        REPORT ON STATE USES OF FEDERAL        2/77 TO 12/79
                                        EDUCATION FUNDS
  FUNDING HISTORY, FY 77:     25000
                      78:     25000
                      79:     25000
                   TOTAL:     75000

5 78 001    300-78-0469                 ASSESSMENT OF THE OPERATION OF THE    DEVELOPMENT ASSOCIATES                TUCKER          25000
                                        ADULT EDUCATION ACT STATE GRANT       ARLINGTON, VIRGINIA             (P)   OED
                                        PROGRAM                                9/78 TO  3/80
  FUNDING HISTORY, FY 78:    311602
                      79:     25000
                   TOTAL:    336602

5 78 101    300-78-0289                 TEACHER CORPS PROGRAM 78 AND          STANFORD RESEARCH INSTITUTE           TUCKER         140187
                                        PROGRAM 79 EVALUATION ($2,397,631     MENLO PARK, CALIF.              (N)   OED
                                        TEACHER CORPS FUNDS IN FY 78           8/78 TO 12/83
  FUNDING HISTORY, FY 78:   2467631
                      79:    140187
                   TOTAL:   2607818

5 78 201    300-78-0354                 AN ASSESSMENT OF THE CAPACITY         COMMUNICATIONS TECHNOLOGY CORP        FLEMING        282582
                                        BUILDING ACCOMPLISHMENTS OF THE       MARLTON, NEW JERSEY             (P)   OED
                                        REGIONAL RESOURCE CENTERS              9/78 TO  3/80
  FUNDING HISTORY, FY 78:    108535
                      79:    282582
                   TOTAL:    391117

5 78 301    300-78-0572                 AN EVALUATION OF TITLE I OF THE       APPLIED MANAGEMENT SCIENCES INC       SHULER         154600
                                        LIBRARY SERVICES AND CONSTRUCTION     SILVER SPRING, MD.              (P)   OED
                                        ACT                                    9/78 TO  9/80
  FUNDING HISTORY, FY 78:    405000
                      79:    154600
                   TOTAL:    559600
```

703

704

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF OCTOBER 31, 1979
CONTAINING 79 FUNDS

SER. NO.	CONTRACT NUMBER	DESCRIPTION OF CONTRACT	CONTRACTOR NAME, LOCATION, AND TYPE, START AND END DATES		PROJECT MONITOR & ORGANIZATION	FY 79 DOLLARS
5 78 501	300-78-0067	EVALUATION OF THE RIGHT TO READ SPECIAL EMPHASIS PROJECTS (RIGHT TO READ FUNDS PLUS $5316 P&E FUNDS IN FY 78)	GENERAL RESEARCH CORP MCLEAN, VA. 4/78 TO 3/80	(P)	RATTNER OED	147306
FUNDING HISTORY, FY 78:	114292					
79:	147306					
TOTAL:	261598					
5 78 502	300-78-0400	A STUDY OF THE INEXPENSIVE BOOK DISTRIBUTION PROGRAM (RIGHT TO READ FUNDS PLUS $54,657 P&E FUNDS IN FY 79)	GENERAL RESEARCH CORP MCLEAN, VA. 9/78 TO 8/80	(P)	RATTNER OED	174573
FUNDING HISTORY, FY 78:	119201					
79:	174573					
TOTAL:	293774					
5 79 201	300-79-0775	ANALYSIS OF THE BUREAU OF EDUCATION FOR THE HANDICAPPED'S INSERVICE TRAINING	APPLIED MANAGEMENT SCIENCES INC SILVER SPRING, MD. 9/79 TO 9/81	(P)	FLEMING OED	108847
FUNDING HISTORY, FY 79:	108847					
TOTAL:	108847					
5 79 501	300-79-0710	AN ASSESMENT OF VOCATIONAL EDUCATION PROGRAMS FOR INDIAN ORGANIZATIONS AND TRIBES	COMMUNICATIONS TECHNOLOGY CORP MARLTON, NEW JERSEY 9/79 TO 7/80	(P)	SHULER OED	118459
FUNDING HISTORY, FY 79:	118459					
TOTAL:	118459					
5 79 502	300-79-0676	EVALUATION OF THE IMPACT OF PARTS B&C PROGRAMS & PROJECTS UNDER PART IV OF THE INDIAN EDUCATION ACT ($130,000 INDIAN ED FUNDS)	COMMUNICATIONS TECHNOLOGY CORP MARLTON, NEW JERSEY 9/79 TO 3/81	(P)	FLEMING OED	283295
FUNDING HISTORY, FY 79:	283295					
TOTAL:	283295					
5 79 503	300-79-0704	EVALUATION OF THE COMMUNITY EDUCATION PROGRAMS ($100,000 COMM ED FUNDS)	DEVELOPMENT ASSOCIATES ARLINGTON, VIRGINIA 9/79 TO 9/80	(P)	MESSIER OED	113270
FUNDING HISTORY, FY 79:	113270					
TOTAL:	113270					
5 79 504	300-79-0544	EVALUATION OF THE CAREER EDUCATION INCENTIVE ACT IMPLEMENTION ($100,000 CAREER ED FUNDS)	AMERICAN INSTITUTES FOR RESEARCH PALO ALTO, CAL. 10/79 TO 3/81	(N)	SCATES OED	110356
FUNDING HISTORY, FY 79:	110356					
TOTAL:	110356					

```
                         SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF OCTOBER 31, 1979
                                                 CONTAINING 79 FUNDS

SER.                                                                        CONTRACTOR NAME,              PROJECT MONITOR  FY 79
NO.          CONTRACT NUMBER            DESCRIPTION OF CONTRACT            LOCATION, AND TYPE,           & ORGANIZATION  DOLLARS
                                                                           START AND END DATES

5 79 505   300-79-0715          AN IMPACT STUDY OF PERSONNEL TRAIN-  A. T. KEARNEY, INC.                 MESSIER         50720
                                ED BY THE USOE ALCOHOL AND DRUG      ALEXANDRIA, VIRGINIA         (P)   OED
                                EDUCATION PROGRAM (AADA FUNDS)        9/79 TO 12/80
  FUNDING HISTORY, FY 79:     50720
                  TOTAL:     50720

....................SUBTOTAL OCCUPATIONAL, HANDICAPPED, DEVELOPMNTL       5764210

  FUNDING HISTORY, FY 67-69:         0
                        70:         0
                        71:         0
                        72:         0
                        73:         0
                        74:         0
                        75:         0
                        76:         0
                        77:    112986
                        78:   3736538
                        79:   1914686
                        80:         0
                        81:         0
```

703

707

```
                        SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF OCTOBER 31, 1979
                                              CONTAINING 79 FUNDS

SER.                                                                       CONTRACTOR NAME,          PROJECT MONITOR  FY  79
NO.           CONTRACT NUMBER            DESCRIPTION OF CONTRACT          LOCATION, AND TYPE,        & ORGANIZATION  DOLLARS
                                                                          START AND END DATES

9. MISCELLANEOUS

9 70 099     SEVERAL                    FIELD READERS, SMALL PURCHASE   MISCELLANEOUS                  SEVERAL       105037
                                         ORDERS, PRINTING, TRAVEL. ETC.                          ( )   OED
                                        (INCLUDES FUNDS FROM SEVERAL      7/69 TO  9/79
                                        SOURCES IN FY'S 76 THRU 79)
  FUNDING HISTORY, FY 70:      7465
                      71:     37869
                      72:     44685
                      73:     45302
                      74:     57200
                      75:     38188
                      76:     83622
                      77:     66193
                      78:     10403
                      79:    105037
                  TOTAL:     495914

9 70 299     SEVERAL                    PLANNING AND EVALUATION FUNDS   MISCELLANEOUS                  SEVERAL      1281440
                                        TAPPED FOR USE BY OFFICE OF THE                          ( )
                                        ASSISTANT SECRETARY FOR PLANNING  7/69 TO  9/79
                                        AND EVALUATION
  FUNDING HISTORY, FY 70:   1561534
                      71:   1816780
                      72:   1962448
                      73:   1213178
                      74:    779626
                      75:    782561
                      76:   1555750
                      77:   1387880
                      78:   1712700
                      79:   1281440
                  TOTAL:  14053901

9 77 001     HEW-100-77-0034            COMPUTER TIME IN SUPPORT OF     COMNET COMPUTER NETWORK CORP.   DEVER        295000
                                        PLANNING AND EVALUATION PROJECTS WASHINGTON, D.C.        (P)
                                                                          5/77 TO  9/79
  FUNDING HISTORY, FY 77:     33124
                      78:    247000
                      79:    295000
                  TOTAL:     575124
```

SUMMARY OF PLANNING AND EVALUATION CONTRACTS AS OF OCTOBER 31, 1979
CONTAINING 79 FUNDS

```
SER.
NO.           CONTRACT NUMBER          DESCRIPTION OF CONTRACT            CONTRACTOR NAME,          PROJECT MONITOR  FY  79
                                                                          LOCATION, AND TYPE,       & ORGANIZATION  DOLLARS
                                                                          START AND END DATES

......................SUBTOTAL MISCELLANEOUS                       15124939

    FUNDING HISTORY, FY 67-69:         0
                         70:     1568999
                         71:     1850653
                         72:     2007093
                         73:     1258520
                         74:      836826
                         75:      820749
                         76:     1639372
                         77:     1487147
                         78:     1970103
                         79:     1681477
                         80:           0
                         81:           0
```

```
                                   SUMMARY OF PLANNING AND EVALUATI   CONTRACTS AS OF OCTOBER 31, 1979
                                                   CONTAINING 7, FUNDS

SER.                                                                    CONTRACTOR NAME,        PROJECT MONITOR  FY  79
NO.         CONTRACT NUMBER            DESCRIPTION OF CONTRACT        LOCATION, AND TYPE,     & ORGANIZATION  DOLLARS
                                                                      START AND END DATES

.................GRAND TOTAL     73264899

  FUNDING HISTORY, FY 67-69:            0
                         69:            0
                         70:      1568999
                         71:      1854653
                         72:      2007093
                         73:      1258520
                         74:       830826
                         75:      4909791
                         76:      6238197
                         77:     10700811
                         78:     22363920
                         79:     21526089
                         80:            0
                         81:            0
```

APPENDIX B.

PROGRESS IN IMPLEMENTING SECTION 183 OF TITLE I OF THE ELEMENTARY AND SECONDARY EDUCATION ACT OF 1965 AS AMENDED

Progress in Implementing Section 183 of Title I of the Elementary and Secondary Education Act of 1965 as amended

Legislation:	Expiration Date:
Section 183 of Title I of the Elementary and Secondary Education Act of 1965, as amended	September 30, 1983

Funding History	Year	Authorization	Appropriation 1/
	1975	$9,380,000	$1.400.000
	1976	9,500,000	3.250,000
	1977	10,250,000	3,750.000
	1978	11,425,000	10,445,000
	1979	13,675,000	11.000.000
	1980	17,390,000	14,456,000

Program Goals and Objectives:

Section 183 of ESEA Title I lists specific activities required of the Commissioner. The section can be summarized as follows:

The Commissioner shall

- provide for independent evaluations which describe and measure the impact of programs and projects assisted under this title ...

- develop and publish standards for evaluation of program or project effectiveness ...

- consult with State and local representatives to develop a schedule for local evaluations such that a representative sample of them in each State are done each year ...

1/ Subsection (i) of Section 183 authorizes the Commissioner of Education to expend up to one-half of one percent of the funds appropriated for the Title I program to carry out the provisions of Section 183. For fiscal years 1975, 76, and 77, $5.000,000 of the appropriation was used by the National Institute of Education to conduct their study mandated by Section 821 of Public Law 93-380; for FY 78 NIE used $555.000. The appropriation figures for USOE reflect the reductions.

- consult with State and local agencies in order to provide for jointly sponsored objective evaluation studies ...

- provide to State educational agencies, models for evaluations of all programs conducted under this title ... which shall include uniform procedures and criteria to be utilized by local educational agencies, as well as by the State agency.

- provide such technical and other assistance as may be necessary to State educational agencies to enable them to assist local educational agencies in the development and application of a systematic evaluation of programs in accordance with the models developed by the Commissioner.

- develop a system for the gathering and dissemination of results of evaluations and for the identification of exemplary programs.

Subsection (f) of Section 183 describes the models further as specifying "objective criteria" and outlining techniques and methodology" for producing data which are "comparable on a statewide and nationwide basis."

Subsection (g) requires a report on the results of the local and State evaluations on February 1 of 1980, 1982, and 1984.

The goals of this evaluation program follow closely the requirements of the Section and the guidance offered in hearings during its passage and the passage of the Amendments of 1976 and 1978. The rationale behind decisions made in its development is described in Wisler and Anderson, 1979.

Program Operations

The implementation of Section 183 of ESEA, Title I was assigned by the Commissioner of Education to the Office of Evaluation and Dissemination* upon the passage of the Education Amendments of 1974 in August of that year. Personnel in its Elementary and Secondary Programs Divisions (ESPD) have been responsible for administering the evaluation program and for reporting on its progress to Congress and other groups. Personnel in the Division of Education for the Disadvantaged responsible for administering the Title I program are also involved in the effort.

Together they have formed a group to plan and perform the various activities of the program. The group is headed by an Evaluation Specialist from ESPD and is comprised of nine staff members who work full-or part-time on Section 183 activities. They are responsible individually or jointly for specific parts of the program, such as the development of evaluation models relevant to the various Title I program areas, the organization and monitoring of the work of the ten Technical Assistance Centers (TAC's), the drafting and clearance of regulations implementing portions of the Section, the publication and distribution of a newsletter, and the filling of requests for information and materials. They also attend meetings at the request of States, locals, special interest groups, and other parties as necessary to inform them of the work.

---

* Office of Planning, Budgeting and Evaluation through FY 1978.

OED interacts directly with State personnel in ways which vary accordingto State preference. Also, occasional contacts with local districts are pursued, again at the direction of the SEA's and LEA's. Staff also work with firms under contract to develop and document evaluation models and to provide federally funded technical consulting services to States. OED meets also with members of the National Advisory Council on the Education of Disadvantaged children, of selected committees of the Council of Chief State School Officers, of groups within the National Association of Coordinators of Title I Programs, and of various agencies in HEW (such as the National Institute of Education and the Office of Child Development).

Program Scope:

The scope of the program to implement Section 183 is dictated largely by the legislation. It involves the major areas of (1) regulations and model development, (2) technical assistance, (3) dissemination, and (4) program evaluation -- all of which incorporate another activity required by the Section. consultation with States. Each of these areas -- as well as (5) the required reporting to Congress -- will be discussed below.

1. The development and publication of evaluation models

Subsection (d) of Section 183 requires the Commissioner of Education to "provide to S tate educational agencies, models for evaluations of all programs conducted under this title ... which shall include uniform procedures and criteria to be utilized by local educational agencies, as well as by the State agency in the evaluation of such programs." Work to accomplish that in one program area (the improvement of the basic skills in underachieving school children) has been underway since 1974, and during the 1978-79 school year all States had at least some of their projects using the recommended procedures. This amounted to about 40 of the nation's Title I districts. Work has been underway during fiscal year 79 to publish regulations, to address remaining technical issues, and to prepare a policy manual.

a. the publication of regulations

The process leading to the publication of regulations has included thirteen steps. As shown in Table 1, those steps have involved informational contacts (phone calls and materials sent to interested groups, for example, during the winter of 1977), solicitation of public input before the official publication of Federal Register notices (through meetings in December, 1976; August, 1977; and September, 1978), and the actual legal publication of a Notice of Proposed Rulemaking, hearings, and final publication of regulations.

As required by Section 183, the regulations establish technical standards for program or project evaluations and define evaluation models and reporting procedures for grantees in the Part A LEA grant portion of Title I offering basic skills services to students in grades 2-12. Their content is summarized below.

- They establish standards for the evaluation of project effectiveness. These include requirements that--
    - Evaluation participants be representative of those served by the project;
    - Evaluation instruments be reliable and valid;
    - Evaluation procedures minimize error; and
    - Evaluation procedures generate a valid estimate of project effectivenesss in reading, language arts, and mathematics.
- The regulations prescribe three models to be used by SEAs and LEAs in the evaluation of Title I projects. They also include a procedure by which alternative models can be approved.
- As a result of the Education Amendments of 1978, the regulations--
    - Reduce frequency of LEA evaluations from an annual requirement to an evaluation at least once every three years according to a schedule established by the Commissioner;
    - Change the frequency of the SEA evaluation report to the Commissioner from an annual to a biennial report; and
    - Outline the requirements for the SEA report.
- Finally, the regulations indicate evaluation activities that may be paid for with Title I funds.

More detailed information about the process to develop, refine, and publish the regulations is available from the Elementary and Secondary Programs Division (room 3049,) ED, USOE.)

b. the preparation of a Policy Manual

The Education Amendments of 1978 added a requirement to ESEA Title I that USOE publish a policy manual to clarify and interpret regulations for the program. A chapter in the policy manual will deal specifically with the evaluation regulations. A preliminary draft of it was distributed in February, 1979, in conjunction with the publication of the Notice of Proposed Rule-making. Comments on that draft, recommendations from an advisory group of local and State educators as well as two persons active in the preparation of the legislation in 1978, and public comment to a later draft will lead to the final version of the chapter, required by available by no later than 6 months after the publication of regulations (Section 187).

c. the analysis of technical issues

Early USOE and contractor work, as well as discussions in research journals and meetings, led to the development of a list of topics relevant to Title I evaluation and reporting which need further examination. The examination incorporates mathematical modeling, computer simulation, and analysis of existing data bases from evaluations of compensatory education, test publishers' norming studies, and State and local projects. The work is being done by RMC Research Corporation and SRI International under contract to USOE and is scheduled to be completed by spring, 1980. Documents about the analyses and findings are available as noted above under part (a).

d. the development of State evaluation schedules

The Education Amendments of 1978 changed the local evaluation requirement to read that districts must evaluate their Title I efforts during a three-year period according to a schedule promulgated by USOE (Section 124 g), and Section 183 requires the Commissioner to consult with States and districts in order to develop a schedule for local evaluations "designed to ensure that evaluations are conducted in representative samples of local educational agencies in any State each year" (Section 183, b).

Meetings were held with State and local personnel in the winter of 1979 to solicit their ideas, and a Program Directive was mailed to all States in the spring. Based on that directive, States submitted sampling plans for USOE approval. About half are requiring evaluation data from samples of their districts.

e. the development of evaluation models in other areas

The development of uniform methods for assessing other Title I outcomes is underway now. That work can be outlined as shown in Table 2. Major Title I programs (Part A Basic LEA grants, Migrant education, etc.) are listed, as well as different types of outcomes any of them might address. Of primary focus is the achievement of participating children in the basic skills, since recent studies have shown this to be a major emphasis in all programs (NIE, 1976; Hoepfner, et al., 1977). Title I services may address additional objectives, however, such as facilitating children's affective development or remediating their impediments to learning (for example, poor health or nutrition). Some work to develop models for use in addressing these areas is underway and their use will be encouraged, especially at the LEA level, to assess specific services.

Title I educators have requested evaluation advice also to assess non-student outcomes; that is, the degree of parental satisfaction with Title I services and the degree to which the project is managed and implemented well. This work is being planned but is not yet underway.

2. The provision of technical assistance

a. USOE

In line with the mission of the U.S. Office of Education and with the provisions of Section 183, staff members are active in assisting State and local personnel in the use of the Title I evaluation and reporting system. Such assistance has involved the development and documentation of a computer program for the data analysis required by the models, the provision of materials explaining the models, the publication of a newslette. Personal consultation with SEA and LEA staff, the conduct of national evaluation workshops, the establishment of Technical Assistance Centers to provide free consulting services on call, and the signing of contracts with fourteen States to further develop the system. Materials to support the adoption of improved evaluation strategies are listed in Table 3. They are being requested and distributed in great quantities. Over 15,000 copies of both of the early monographs have been disseminated; since February of 1977, over 8000 copies of th materials to use the models (second category or Table 3) have been mailed to States requesting them.

Table 1. Steps in the process to develop and implement regulations

March	1976	Informal, oral advice from attorneys that regulations are required
September	1976	Formal written opinion from attorneys that regulations are required
December	1976	Two USOE invitational meetings: one with Title I Coordinators and one with CEIS about regulations
January	1977	Phone calls and information to twenty education interest groups
August	1977	Public meeting about models (informational)
April	1978	Input solicited on 4 issues in particular
July	1978	Draft regulations disseminated to SEAs and LEAs
September	1978	USOE national meeting to discuss the models
October-December	1978	Revision of regulations and clearance of the Notice of Proposed Rule-making (NPRM)
February	1979	NPRM published, followed by 45 day public comment period
March	1979	Four regional hearings held
April-June	1979	Regulations revised and Final Regulations cleared
July	1979	Final Regulations published
Spring	1979	SEAs revise LEA application forms, advise LEAs regarding new mandated procedures, and LEA applications to SEA reflect new requirements
Schoolyear	1979-80	LEAs implement new procedures
Summer, Fall	1980	LEAs report results to SEA
January	1981	SEAs report data to USOE

b. By Technical Assistance Centers (TACs) under contract to USOE

Ten regional TACs (one for each HEW regional area) were established by USOE, under competitive procedures, in September 1976, to provide technical services to States implementing the Title I evaluation system. Personnel in the TACs provide detailed technical advice to their client SEAs, and, at an SEA's discretion, to LEAs. This technical advice includes, but is not limited to, implementation of the Title I evaluation models, and can extend to general improvement of local Title I evaluation practices.

During the 1978-79 school year, the TACs provided assistance to every SEA on the implementation of the Title I evaluation system, as well as on evaluation matters of interest to the States, such as local use of evaluation data.

As in previous years, TAC activities included: working with SEAs and LEAs to define their needs regarding Title I technical assistance; working to solve specific technical problems; formulating plans to integrate USOE's evaluation requirements with the various state evaluation and assessment systems; incorporating state assessment data into Title I evaluations; providing assistance in the development of computer programs; examining the quality of Title I evaluation data; examining general measurement and methodological issues in Title I educational evaluation; examining the characteristics of achievement tests; etc.

Aside from the activities already described, the TACs have also worked to develop and help States implement: software programs for hand calculators which can be used by those SEAs and LEAs without access to large-scale computer facilities; materials for improving local use of evaluation data; workshops for Rasch test equating techniques, etc.

In the Fall of 1978, DHEW's Office of the Assistant Secretary for Planning and Evaluation (ASPE) directed an independent evaluation of USOE's Title I Evaluation Technical Assistance program. Concentrating on the activities of the TACs, this evaluation was conducted by an outside panel of five persons, and took the form of: 1) in-depth, on-site interviews with representatives of 20 SEAs and every TAC; 2) telephone interviews with representatives of the remaining SEAs; and 3) a review of TAC-produced materials. Interviews with SEA representatives specifically included discussions of SEA perceptions regarding the TAC system of delivering technical assistance. The panel concluded that the program should be continued as operating with some minor refinements.

The newsletter is mailed to over 18,000 LEA's SEA's, and other interested parties quarterly. It features information about the Section 183 activities and is meant to keep the public informed as necessary for them to administer their Title I evaluation activities. Published by OED, it contains articles by Federal, SEA, LEA, and other personnel (such as parents).

Table 2. The Development of Evaluation Models

Type of outcome and program:	Status as of Spring, 1978
1. Achievement:	
Basic LEA grant program 2-12	- models available. in use by about 40% of nation's Title I districts in FY 78; over half for school year 79-80.
Migrant education program	- tentative ideas developed in conjunction with national evaluation study; to be further discussed with administrators 1979-80, small field test anticipated 1980-81.
Program for the Neglected or Delinquent	- developed in national evaluation study; being discussed with adminitors 1979-80.
Handicapped	- in early planning stages
2. Student non-cognitive outcomes	
a. affective development	- handbook on techniques available spring, 1980.
b. nutritional, medical, dental improvements	- work planned for future to prepare handbooks if appropriate

Table 2 (continued)

c. early childhood education [2]	- work to survey project objectives and develop evaluation models complete; feasibility of models being examined.
3. Non-student outcomes	
a. parent involvement	- work intended as part of national study in FY 80.
b. project implementation	- plans are being formulated to specify good procedures for assessing project management and implementation.

---

[2] These outcomes may be in various achievement or other areas as found to be of importance in such Title I projects.

Table 3. Materials about Title I *evaluation*

	Topic	Availability
1.	The Section 183 work:	
a.	Overview paper, May, 1977	from OED
b.	Two papers presented at the 1977 annual meeting of the American Educational Research Association	from authors in OED
c.	Title I Program Directive, 1976	
d.	Testimony before the Subcommittee on Elementary, Secondary, and Vocational Education of the House Committee on Education and Labor, September, 1977	from OED
e.	Report to Congress--"Experiences after One Year of Use"	from OED
f.	Report the regulations development process	from OED
g.	article published in Educational Evaluation and Policy Analysis	from OED
2.	The models, specifically	
a.	User's Guide	from OED
b.	Pilot version of report forms, instructions, and worksheets	from OED
c.	Contractor's reports (RMC Research Corporation, 1976, 77,78)	from OED and ERIC
e.	Title I Evaluation Bibliography	from OED

Table 3 (continued)

3. Relevant evaluation issues	
a. Technical pamphlets (RMC Research Corporation, 1978, revised)	from OED
b. Evaluation monograph series on	from OED and GPO
- estimating project effects	- currently
- validating project evaluations	- currently
- estimating standard costs	- currently
- sampling	- currently
- examining test bias	- spring, 1980
- assessing affective growth	- summer, 1980
- using criterion-referenced tests	- fall, 1980
4. Information about requirements	
a. memorandum about regulations issues Spring, 1978	from OED
b. Draft proposed regulations August, 1978	from OED
c. Notice of Proposed Rule-making February, 1979	from OED
d. Program Directive about State samples of districts, April, 1979	from OED
e. Newsletter, quarterly	from OED
f. Policy Manual	

c. *By States*

Implementation of the USOE evaluation models occurs at the local level; that is, school district personnel plan the evaluation, administer tests, analyze results, use the information, and report to their States. States are responsible for training their local personnel to follow the prescribed procedures and are helped with this, as they choose, by their Technical Assistance Center personnel.

During school year 1975-76, two States and several school districts used the USOE evaluation system. Districts in over twenty States used it during the 1976-77 year, and their experiences are described in a report available from OED (Anderson, *et al*., 1978). Of particular relevance in that report is information about a typical time-line for an SEA to get the evaluation models in use in its districts. A general estimate was that seventeen steps over a 2-3 year period were necessary to accomplish the goal of State-wide, correct implementation of the models.

States' technical assistance activities are also supported through contracts with USOE to further refine the Title I evaluation and reporting system. Those contracts address four major types of efforts: *quality control studies* in which a State analyzes evaluation reports from its districts in order to determine the most common errors and prepares training materials to reduce such errors; *materials development projects* in which States prepare advanced computer software and instructional materials about the models *testing and methodological investigations* in which they study methods such as Rasch calibration for linking tests or technical issues related to Title I evaluation and reporting; and *other studies*, such is cost-effectiveness analyses and the assessment of student affective development. Deliverables from the studies will be transportable products useful in other sites (such as computer programs and training materials) or reports of findings of individual investigations.

3. *Dissemination*

Subsection (h) of Section 183 requires the Commissioner of Education to disseminate information about effective educational practices. Work in the Office of Education to disseminate and support adoption of such practices is described in the text of the Annual Evaluation Report.

Title I projects in all settings have been submitted for approval by the joint OE-NIE Dissemination Review Panel. Nearly fifty have been approved, and information about them is being distributed by the National Diffusion Network, as well as by the Title I office. The findings of a recent evaluation of the work of the Network are discussed also in the text of this report.

4. National evaluations

A secondary purpose of Section 183 is to sponsor national evaluations of Title I. Such studies usually describe the services and their impacts as well as development evaluation models for use by SEA's and LEA's. Each ongoing evaluation is described in the text of this report; for details about them see the chapters on the Part A, LEA program, the Migrant education program, and that for Neglected or Delinquent Children.

5. Reporting to Congress

Correspondence from members of the House Committee on Education and Labor has emphasized the importance of having the evaluation models in use nationwide by the 1979-80 school year. Data from that year will comprise the first full report to Congress, which will be available in the fall of 1981 (having been reported to USOE by States in January of that year).

The report form for States to use in sending those data to USOE has been refined during the fall of 1978 at four regional work sessions. Those sessions have included participation by State, Technical Assistance Center, Federal, and contractor personnel and have resulted in concrete recommendations from each group. After final clearance, the first four parts of the form will serve as the annual Performance Report, with the fifth part sent to USOE bienially as the Evaluation Report.

Some States have used the evaluation models before passage of regulations or distribution of a required reporting form. State reports for FY 78 received during the fall and early winter of 78-79 will be perused for aggregatable data, and USOE will prepare a report to Congress based on those data. According to Section 183, g, it is due to Congress on February 1, 1980.

References

Anderson, Janice, "USOE's Title I Evaluation Technical Assistance Efforts: Background and the Evaluation System," paper presented at the meeting of the American Educational Research Association, New York, April, 1977.

Fishbein, Ronald L., "USOE's Title I Evaluation Technical Assistance Efforts: The Technicall Assistance Centers," paper presented at the meeting of the American Educational Research Association, New York, April, 1977.

Hoepfner, Ralph, Wellish, Jean, and Zagorzki, Henry, *Report #1: The Sample for the Sustaining Effects Study and Projections of Its Characteristics to the National Population,* Santa Monica, System Development Corporation, 1977.

National Institute of Education, *Evaluating Compensatory Education*, Interim Report to Congress, Washington, D.C., 1976.

Office of Planning, Budgeting, and Evaluation, "Implementation of Section 151 of the Elementary and Secondary Education Act of 1965. Title I," U.S. Office of Education, Washington, D.C., May, 1977.

RMC Research Corporation, *Further Documentation of State ESEA Title I Reporting Models and Their Technical Assistance Requirements*, Mountain View, California, 1976.

System Development Corporation, "National Evaluation of Title I Programs in State Institutions for Neglected or Delinquent Youth - Phase I Report," Santa Monica, California, 1977.

Wisler, Carl E. and Anderson, Janice K., "Designing a Title I Evaluation System to Meet Legislative Requirements," *Educational Evaluation and Policy Analysis*, Vol. 1, No. 2, March-April, 1979, pp. 47-55.

For information about the Section 183 effort.
Contact: Dr. Janice Anderson
(202) 245-7875

*U.S. GOVERNMENT PRINTING OFFICE : 1980 0-622-203/1126